

<p align="center">New York State Information Technology Policy</p>	<p>No: NYS-P09-003</p>	
<p>IT Policy Name:</p> <p align="center">Development of Enterprise IT Policies</p>	<p>Effective Date: 10/01/2009</p>	
	<p>Issued By: NYS CIO/OFT State Chief Information Officer Director Office for Technology Published By: Enterprise Strategy & Acquisitions Office</p>	
<p>Date</p>	<p>Description of Change</p>	

1.0 Purpose and Benefits of the Policy

The purpose of this policy is to set forth the process for developing and updating NYS statewide Enterprise IT policies and to provide greater efficiency and transparency in the policy development process.

This policy outlines the process for updating and developing policies, emergency policy review and approval, rescinding a policy, emergency process for rescinding a policy, and archiving and retention of policies.

2.0 Enterprise IT Policy Statement

Section 2 of Executive Order No. 117 provides the State Chief Information Officer, who also serves as Director of the NYS Office for Technology, with the authority to oversee, direct and coordinate the establishment of information technology policies, protocols and standards for State government, including hardware, software, security and business re-engineering. Details regarding this authority can be found in NYS CIO/OFT Policy [NYS-P08-002, Authority to Establish State Enterprise Information \(IT\) Policy, Standards and Guidelines](#). CIO/OFT will develop, deploy and maintain policy compliance to ensure effective policy implementation.

3.0 Scope of the Policy

This policy applies to all NYS Enterprise IT policies affecting State government entities, which by definition includes all state agencies, departments, offices, divisions, boards, bureaus, commissions and other entities over which the Governor has executive power.

4.0 Policy

NYS Enterprise IT policies for State government entities shall be established in accordance with this policy. Only those authorized by the State CIO shall develop Statewide or Enterprise IT policies.

The request to develop or update a statewide Enterprise IT policy must be brought to the attention of the CIO/OFT Enterprise Strategy and Acquisitions Office (referred to as ESAO) through the appropriate protocols as outlined in [NYS-P08-002 Authority to Establish State Enterprise Information Technology \(IT\) Policy, Standards, and Guidelines](#).

4.1 Policy Development and Update

Below are the steps to request a new policy or to update an existing policy.

Step A: Requestor Identifies a Policy Need.

The requestor completes the IT Enterprise Policy Development Proposal Form (See Appendix A) and sends the request for a new or updated policy to the ESAO. The form will assist the requestor in describing the intended purpose or need for a new or updated policy. The form will facilitate an effective and efficient policy development and review process.

Step B: Development Process

The ESAO coordinates the policy-drafting process with the appropriate stakeholders. Although the specific contents of the draft will depend upon the nature and complexity of the request, the document will follow the format outlined in [NYS-P08-002 Authority to Establish State Policies](#).

ESAO will post the draft policy on the CIO/OFT Enterprise Policy Wiki for a period of thirty (30) days which will contain at minimum a Purpose Statement. Notification of the availability of the draft policy for development and comment will be provided via CIO/OFT Website, email and CIO/OFT Twitter feed.

Step C: Review Process

The ESAO reviews the collaborative draft policy and comments provided and coordinates producing a final draft which incorporate edits and comments received as appropriate.

Step D: Approval Process.

ESAO will provide the final draft policy to the Deputy CIO for Enterprise Strategy and Governance Services for initial approval. Following approval by the Deputy CIO for Enterprise Strategy and Governance the policy will be provided to the State CIO for final approval and sign off. Once approved by the State CIO, the Deputy CIO for Enterprise Strategy and Governance Services forwards the final draft to ESAO. The ESAO posts the policy to the CIO/OFT public website and makes an announcement of its availability.

4.2 Emergency Policy Review and Approval Process.

Certain circumstances may arise that warrant immediate publication of a policy document without sufficient time for the normal review, comment and approval process as described in Section 4.1. These situations may include, but are not limited to, the passage of laws or regulations, legal action or natural disasters. The State CIO has the sole discretion to initiate an emergency approval process and may communicate the emergency declaration as soon as possible and prior to a release of the official policy document. Once approved, the ESAO will distribute the published policy directly to appropriate stakeholders. The ESAO will then post the policy on the CIO/OFT internal and public website.

4.3 Process to Rescind a Policy.

Step A: The State CIO or the Governor's Office May Rescind a Policy. The CIO/OFT Executive Governance Council (EGC) May Advise the Deputy State CIO to Rescind a Policy.

If a policy is no longer relevant, or the subject matter is more logically combined with another policy, a decision may be made to rescind the policy. This action may be initiated through the recommendation of the Deputy CIO for Enterprise Strategy and Governance Services or the CIO/OFT Executive Governance Council to the CIO or the Governor's Office, as appropriate. All recommendations to the Governor's office will be submitted by the State CIO.

Step B: ESAO processes a Rescinded Policy.

After the State CIO or the Governor has approved rescission of a policy, ESAO will coordinate the rescinding process to ensure all appropriate parties are notified; all references to the rescinded policy are updated; and the rescinded documents are appropriately archived.

Step C: ESAO Posts a Rescind Notice on All Appropriate Websites.

The ESAO will notify all the necessary stakeholders of the request and a notice of the decision to rescind the policy will be posted on the CIO/OFT public website.

4.4 Emergency Process to Rescind a Policy.

Certain circumstances may arise that warrant the immediate rescinding of a policy document without sufficient time for the review, comment and approval process as described in Section 4.3. These situations may include, but are not limited to, the passage of laws or regulations, legal action or natural disasters. The State CIO has the sole discretion to initiate the emergency rescinding process and will communicate the emergency declaration as soon as possible and prior to rescinding the policy. The ESAO coordinates the emergency rescinding process to ensure the appropriate parties are notified; all references to the rescinded policy are updated; and the rescinded documents are appropriately archived. A notice regarding the rescinded policy will be posted on the CIO/OFT public website.

4.5 Policy Archival and Retention Process

4.5.1. Archiving Process

Final policies which are archived should be retained for six (6) years after the policy is withdrawn, revised, or superseded.

Draft policies and documents which have useful background information, such as those on or about which revisions or comments were made showing a course of direction or decision, should be saved for one year after a policy or procedure is issued/published. Draft copies of policies or other draft documents that have no useful background information do not need to be saved.

4.5.2. Archiving Process for Rescinded Policies

All statewide policies approved to be rescinded will be archived in the official CIO/OFT files. Archived copies will be filed together in a clearly marked folder with the respective policy's name and classification number; these will be retained for a minimum of six (6) years. All soft copies of

archived policies will be stored in an electronic folder with the respective policy's name and classification number; these will be retained for a minimum of six (6) years.

To maintain organizational history and transparency, once a policy has been determined to be archived, a copy of the policy (electronic and hard copy) and any attachments or relevant hyperlinks will be made available to any requesting parties by the ESAO.

5.0 Policy Compliance

The CIO/OFT ESAO reserves the right to review this policy periodically to ensure relevancy and recommended changes to the State CIO.

6.0 Definitions of Key Terms

A complete listing of defined terms for NYS Information Technology Policies, Standards, and Best Practice Guidelines is available in the "NYS Information Technology Policies, Standards, and Best Practice Guidelines Glossary" at (<http://www.cio.ny.gov/policy/glossary.htm>).

7.0 CIO/OFT Contact Information

Submit all inquiries and requests regarding this policy to:

Attention: CIO/OFT Enterprise Strategy & Acquisitions Office
Enterprise Strategy and Governance Services
New York State Office of the Chief Information Officer and Office for Technology
State Capitol, ESP, P.O. Box 2062
Albany, NY 12220
Telephone: 518-473-0234
Facsimile: 518-473-0327
E-mail: oft.sm.policy@cio.ny.gov

The State of New York Enterprise IT Policies may be found at the following website:
<http://www.cio.ny.gov/policy/technologypolicyindex.htm>

8.0 Revision Schedule and History

<p>New York State Information Technology Policy</p>	<p>No: NYS-P09-003</p>
<p>IT Policy Name</p>	

Appendix A – NYS-P09-003

Enterprise IT Policy Development Proposal Form

Date Submitted:	
Requestor (Name, Phone, and Email):	
Organization:	

1. Purpose: [Describe the intended purpose of the new or revised policy in sufficient detail to allow for initial identification and coordination by the Enterprise Strategy and Acquisitions Office.]

2. Impact: [Describe the intended impact of this policy.]

3. Stakeholders: [List the stakeholders of this policy and indicate whether any or all of these parties should be included in this policy development process; include a discussion of any parties that may be in opposition to this policy and the reasons why.]

4. Research and Best Practices: [If available, note or attach any relevant research or sample policies that you believe would be helpful to this policy development effort.]

5. Opposing Views or Implications to the Policy: [State opposing views or implications to the policy.]

6. Financial Implications: [Note and describe any financial implications to the policy.]