

<p>New York State Information Technology Policy</p>	<p>No: NYS-P09-002</p>
<p>IT Policy Name:</p> <p>Process for Establishing Enterprise Information Technology Standards</p>	<p>Effective Date: 10/01/2009</p> <p>Issued by: NYS CIO/OFT State Chief Information Officer Director Office for Technology</p> <p>Published By: Enterprise Strategy & Acquisitions Office</p>

1.0 Purpose and Benefits of the Policy

This policy sets forth the process for establishing enterprise information technology (IT) standards for New York State government entities. Enterprise IT standards provide several benefits to the State. These benefits include reduced costs, increased productivity and increased employee mobility. Standards may define or limit the tools, proprietary product offerings, or technical solutions which may be used, developed or deployed by state government entities.

This policy seeks to ensure:

- Uniformity in technology standards systems deployed by state government.
- Technology standards and systems that reflect the collective input, technical knowledge and programmatic expertise of state government entities.

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, 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](#).

3.0 Scope of the Policy

This policy applies to all State government entities, as defined in NYS Executive Order No. 117.

4.0 Policy Statement

New York State Enterprise IT Standards shall be established in accordance with this policy.

The request to adopt an Enterprise IT standard must be brought to the attention of the CIO/OFT through the appropriate channels outlined in [NYS-P08-002 Authority to Establish State Enterprise Information Technology \(IT\) Policy, Standards, and Guidelines](#).

The process for establishing an Enterprise IT standard shall, to the extent practical, solicit the collective input, technical knowledge and programmatic expertise of State government entities; provided, however, that policies, standards, procedures and best practice guidelines may be established by the CIO without seeking such input prior to publication.

4.1 Enterprise IT Standard Adoption Process

4.1.1 Requestor identifies a need for an enterprise IT standard.

The Requestor(s) sends a request for an enterprise IT standard to CIO/OFT. The request must include, at a minimum, a written proposal identifying the need for an enterprise IT standard. The case includes any state agencies that would benefit from the enterprise IT standard and a recommendation that contains data sufficient to establish demand for the standard.

CIO/OFT may initiate this process if it deems a need exists through an analysis that includes, but is not limited to, Annual Technology Plans (ATP), Plans to Procure (PTP) or national IT trends. If CIO/OFT initiates the process, it notifies state agencies of the identified need and proceeds to Step 4.2.1.

4.1.2 CIO/OFT evaluates the request.

CIO/OFT reviews the request and determines its viability. Requests will be evaluated based on whether the proposed IT standard:

- Promotes consistency in the automation of the State's common infrastructure systems;
- Eliminates duplicative development efforts by multiple state government entities;
- Ensures or enhances continuity of ongoing State operations;

- Promotes administrative efficiencies relating to development and maintenance of common data;
- Enables the State to realize its full market power from using a statewide, enterprise approach to the selection of technology standards;
- Promotes short or long-term cost savings or cost avoidance;
- Streamlines the delivery of information or services by promoting consistency in the handling, collection, transport or storage of data information;
- Protects and secures the State's IT infrastructure and/or data;
- Increases productivity; or
- Enables greater workforce mobility.

If the request is not viable, the Requestor will be notified of the reasons in writing. If the request is viable, CIO/OFT posts the request on the CIO/OFT Wiki <http://wiki.cio.ny.gov/wiki> for review and comment for thirty (30) calendar days.

4.1.3 CIO/OFT issues a moratorium on any Plans to Procure (PTPs) regarding the request.

CIO/OFT issues a moratorium on all PTP requests relating to the technology in review. CIO/OFT notifies all CIO's and updates the CIO/OFT public website with any information regarding the moratorium. The information includes the specifics of the moratorium including the details of the IT standard under review. The public CIO/OFT website is updated monthly on the status of the moratorium. CIO/OFT notifies all state agencies when the moratorium is no longer in effect.

4.1.4 CIO/OFT develops an inter-agency committee and assigns a project manager.

CIO/OFT notifies all state agencies of the intent to adopt an enterprise IT standard. CIO/OFT invites state agencies to participate in a committee to develop the business requirements of the new, enterprise IT standard. The committee is made up of stakeholders including, at a minimum:

- Agency CIO's
- CIO/OFT legal, procurement and business unit staff
- CIO/OFT and state agency Subject Matter Experts (SME's)

- Representatives from agencies that have an installed or embedded based

4.1.5 Project Manager seeks approval to move forward with the project.

The CIO/OFT Project Manager completes all preliminary project documents, seeks approval to move forward with the project and enters the project into the Enterprise Portfolio Management System.

4.1.6 The inter-agency committee develops the business case.

The committee develops a complete business case that contains high level business requirements for the standard. To accomplish this, steps may include, but not be limited to:

- Survey of the state agencies
- Reviews of the embedded base
- Research to identify the product vendor pool
- Demonstrations of vendor products
- Demonstrations of existing government systems
- Discussions with existing system/technology user groups

4.1.7 The inter-agency committee distributes the business case for CIO Council comment.

The inter-agency committee posts the business case for comment on the CIO Council website for fourteen (14) calendar days. The committee updates the business case, as appropriate.

4.1.8 The inter-agency committee distributes the business case for *public* comment.

The inter-agency committee posts the business case for public comment on the CIO/OFT public website. The committee updates the business case, as appropriate. All comments will be documented in the final business case.

4.1.9 The inter-agency committee presents the business case to CIO/OFT Executive Management for approval.

The committee presents the final business case to CIO/OFT Executive Staff for approval. As appropriate, staff seeks Division of the Budget and Governor's Office approval.

4.1.10 CIO/OFT develops and evaluates detailed standard requirements for the enterprise standard.

Regardless of the procurement mechanism, any enterprise IT standard selected must adhere to the following criteria:

- The technology standard must meet the programmatic and technical needs of multiple state government entities in core functionality.
- The technology standard(s) shall be selected based upon an evaluation that reviews the merits of the proposed standard against the following factors:
 - I. **Current Technology** - Is the proposed technology standard consistent with the statewide technology direction?
 - Technology is current, and reflects industry trends or "best of breed" recommendations.
 - Proposed technology standard offers potential for long life cycle - minimizes risk of technological obsolescence.
 - II. **State Government** - Have state government entities already made an investment in the proposed technology standard, with reference to:
 - Size and scope of existing deployments of the technology standard among state government entities ("embedded base").
 - Current fiscal investment associated with the embedded base.
 - Time and effort associated with the acquisition, development and deployment of the ("embedded base").
 - III. **Maintenance of Ongoing Business Operations** - Does the proposed technology standard enhance the ability of state government entities to maintain ongoing business operations?
 - IV. **Impact on State Resources** - What is the impact of the proposed technology standard on State resources?
 - Administrative and fiscal resources required to implement proposed technology standard.
 - Deployment timeframe to implement proposed technology standard(s).

- Potential for cost savings or cost avoidance.

V. Alternatives

- a. Does the proposed enterprise IT standard represent the best standard among alternatives considered, based upon the foregoing technical and business case analysis; or
- b. Is the technology offered to all state government entities under an enterprise agreement or enterprise license agreement (ELA) which serves the best interests of the State, under terms and conditions for proprietary standards which may include, but are not limited to:
 - i. The State's right to use and distribute custom programming developed for any one state government entity to additional state government entities and local governments or political subdivisions for no additional charge;
 - ii. Aggregate volume pricing discounts that reflect the aggregate buying potential of state government entities; and
 - iii. Minimum product offering and maintenance guarantees from the proprietary developer/manufacturer.

4.2 Process for Implementing Standards

4.2.1 Process for Implementing Standards

State government entities will be provided with notice that a new enterprise IT standard is being undertaken. State government entities are required to purchase or implement the technology or system that conforms to the enterprise IT standard.

4.2.2 Major Upgrade or Replacement of Existing Systems

Unless granted an exemption, state government entities are subject to this policy and will be required to move to an established standard in compliance with this policy at the earlier of:

The end of an existing system life cycle, which requires replacement in full by a new acquisition; or the need to design and implement a major upgrade to an existing system. Major upgrade shall include, but not be limited to, such things as:

- substantial redesign of an existing system for the purpose of providing new application functionality;
- upgrades to a new major version or release of a proprietary software product; or
- application modifications which would involve substantial administrative or fiscal resources to implement.

5.0 Policy Compliance

This policy is effective upon publication.

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" (<http://www.oft.state.ny.us/policy/glossary.htm>).

7.0 CIO/OFT Contact Information

Submit all inquiries and requests for future enhancements regarding this policy to:

Attention: Enterprise Strategy and 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
Email: 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 Review History

Date	Description of Change
04/04/2002	Original Policy Release
10/01/2009	Revised Policy
01/15/2010	Revised to correct formatting and technical errors.