Office of Information Technology Services Policy	**No:** ITS-P18-007
ITS Policy: **Mobile Device Provisioning, Deprovisioning, and Replacement**	**Updated:** 12/22/2020 **Issued By:** NYS Office of Information Technology Services **Owner:** Chief Technology Office Workplace Services

1.0 Purpose and Benefits

The rapid growth and availability of mobile technology solutions makes it possible to perform official business outside the constraints of the traditional office setting. Mobile technology enables users to not only send and receive voice calls, email, and text messages, but also allows them to access business data and applications from anywhere at any time. Users whose job responsibilities frequently take them away from the office can take full advantage of mobile technology solutions to conduct State business, communicate effectively, and securely access New York State ("NYS" or "State") data when required.

This mobile device policy ("Policy"), issued by the Office of Information Technology Services (ITS), sets forth mobile device provisioning and deprovisioning processes; defines standard vs non-standard mobile devices, including accessories; sets forth the billing process for device counts in excess of the established baseline; and establishes a mobile device repair/replacement policy for a device that is inoperable, lost or stolen.

ITS strives to provide a high quality, sustainable, secure, and cost-effective mobile experience through issuing mobile standards and normalized rate plans. ITS mobile service rates can be found at https://its.ny.gov/service-rates. Additionally, this Policy will ensure the State's mobile technology assets are deployed appropriately and consistently.[1]

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[1] See Appendix A.

2.0 Authority

Section 103(10) of the State Technology Law provides the Office of Information Technology Services (ITS) with the authority to establish statewide technology policies, including technology and security standards. *Section 2 of Executive Order No. 117* provides the State Chief Information Officer 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 ITS Policy, *[NYS-P08-002 Authority to Establish State Enterprise Information Technology (IT) Policy, Standards and Guidelines](#)*.

3.0 Scope

This Policy applies to ITS, its employees and contractors, and ITS supported agencies ("Client Agency") on behalf of which ITS issues mobile devices and technology.

4.0 Information Statement

Effective as of the date of this policy, ITS, in conjunction with the NYS Division of Budget ("DOB") and the Office of State Operations, will manage the State's mobile technology spending and provisioning in accordance with the guidelines established herein. The intent of this Policy is to provide ITS' Client Agencies access to the mobile devices and services necessary to keep up with current technology trends, support user needs and Client Agency missions, and ensure the appropriate use and efficacy of State resources.

A baseline for the number of mobile devices by type provisioned to each Client Agency will be set based on carrier records as of March 31, 2020. Going forward, any devices added that exceed that device type's baseline will be addressed via direct bill on a monthly basis. Requests for additional devices must be submitted to ITS through the Enterprise IT Service Management System (ITSM) service catalog.

Mobile Device Provisioning and Technology Management
Users deemed by their agency to require the use of State-issued mobile devices to perform their job duties pursuant to an approved Mobile Device Plan will be provided the necessary devices, in accordance with the Best Practices set forth in Appendix B of this Policy. Issuance of any mobile device must be in accordance with the Client Agency's approved Mobile Device Plan. ITS recommends that Client Agency users are limited to a maximum of one data plan per user. The Client Agency's Mobile Device Plan must justify all exceptions to this limitation for each individual user. It is the responsibility of the Client Agency to properly onboard users for mobile device usage by completing and submitting either an Employee Onboarding request or Mobile Device request through the ITSM Service Catalog. ITS Workplace Services (WPS) will then fulfill the request in accordance with this Policy.

Biannual Mobile Usage Report

To aid in management of mobile technology usage, ITS will provide Client Agencies with biannual reports identifying all the agency's mobile devices by device type with assigned user and device activity levels. Timing of biannual reports will coincide with the ITS quarterly billing cycle and invoices.

ITS will also include recommendations in these biannual reports for changes to existing or future mobile technology deployments within the Client Agency to ensure the appropriate use of State resources. For example, ITS may recommend conversion of smartphone devices with no data usage to voice-only devices, elimination of inactive lines with no voice or data usage or tethering of devices. These biannual reports will also identify users with more than one data plan for examination by the agency.

The Client Agency must either accept or reject (with explanation) the recommendations in a biannual report within 30 calendar days of issuance. This response should be provided to the ITS Mobile Device Team at its.sm.enterprisemobility@its.ny.gov. Failure to respond to a biannual report within 30 calendar days of issuance constitutes acceptance of the report by the Client Agency, including acceptance of any resulting action taken by ITS consistent with this policy.

Client Agency Mobile Device Plan

Within 90 calendar days of the original issuance of this Policy, Client Agencies shall develop and submit a Mobile Device Plan to ITS authorizing the usage of mobile devices. The Commissioner or Executive Deputy Commissioner must certify the plan. The Mobile Device Plan shall identify Client Agency users who are eligible for mobile devices. Such plan must be submitted to ITS at ITSBilling@its.ny.gov. As changes to the agency's Mobile Device Plan are made, recertified plans must be submitted to ITS.

Appended hereto are a list of best practices agencies should consider when drafting such plan (see Appendix B). Client agencies shall work with ITS to determine how to adequately fulfill mobile technology needs in the most efficient and cost-effective manner available in accordance with the approved Mobile Device Plan and this Policy. An example Mobile Device Plan is provided in Appendix C.

Standard vs Non-standard Mobile Device

Mobile devices subject to this Policy include both standard and non-standard devices identified as follows:

    Standard mobile devices
    Smartphone: iPhone – current generation being issued by ITS
    Cell phone: camera/non-camera phone
    MiFi device: mobile hotspot that can serve multiple users
    Aircard: USB air card
    Tablet with data plan: iPad – current generation being issued by ITS

    Non-standard devices
    Supported non-standard devices require financial authorization and justification. Examples of non-standard devices are smartphones or tablets with larger

screens, larger capacity or newer models than currently issued by ITS. **The funding and procurement of non-standard devices is the responsibility of the Client Agency. This includes Reasonable Accommodation requests that are for non-standard devices.**

In accordance with this Policy, ITS will provide the following accessories with newly issued devices:
Smartphone: Standard shell holster, charging cable
Cell phone: Standard shell holster, charging cable
MiFi device: Charging cable
Aircard: N/A
Tablet: Charging cable, basic case with optional keyboard

The funding and procurement of all other accessories not identified above are the responsibility of the Client Agency and/or user (i.e.: car chargers, Bluetooth headphones, & specialty cases, etc.)

International voice/data service
International voice/data service must be initiated through an ITSM service catalog request under **Mobile Device Services/Mobile Service Feature Changes**. The request for international service will result in a direct bill to the Client Agency for the cost of international service.

Repair/Replacement
At ITS' discretion, inoperable standard mobile devices will be repaired or replaced with new or repurposed like devices. Lost or stolen standard mobile devices will be replaced with new or repurposed like devices.

Deprovisioning Mobile Devices
ITS is responsible for maintaining an accurate inventory of available and allocated mobile devices. This inventory enables ITS to provide the necessary mobile devices to Client Agencies – ensuring that agency users have the tools they need to properly serve the citizens and businesses of New York State.

It is the responsibility of the Client Agency to properly offboard its user upon separation from the agency or return devices no longer needed to include coordination with agency legal counsel regarding preservation obligations before proceeding with deprovisioning requests to ITS. Whether the user leaves state service or simply transfers to a new agency, the Client Agency must promptly complete and submit an Employee Offboarding request through the ITSM Service Catalog which provides ITS WPS the necessary information to reclaim and re-allocate the mobile device. For devices no longer needed, the Client Agency must promptly complete and submit a Return a Mobile Device request through the ITSM Service Catalog and ship the device to the address provided in ITSM.

Before a Client Agency submits a request to offboard a user, it should first consult with the Chief Legal Officer of the Client Agency to ensure all legal preservation obligations are met. Devices no longer in use by a Client Agency should be returned to ITS, unless

directed otherwise by the Chief Legal Officer of the Client Agency due to legal preservation obligations.

Additionally, mobile device users are not permitted to transfer their mobile device, the phone number or data plan associated with that device, to a personal account or between state agencies at any time. Any exceptions to this prohibition require authorization and request to ITS from the Chief Legal Officer of the Client Agency.

5.0 Compliance

This Policy shall take effect upon publication. Compliance is required with all enterprise policies and standards. ITS may amend its policies and standards at any time; compliance with amended policies and standards is required.

Client Agency responsibilities include:
- Create and maintain a Mobile Device Plan which identifies the types of Client Agency users who are eligible for mobile devices and includes justifications for such eligibility. Justify and document all cases where a Client Agency user has more than one data plan assigned. Submit the completed Mobile Device Plan to ITS within 90 days of the original issuance of this Policy and re-submit to ITS as changes to the agency's Plan are made.
- Inform Client Agency users of this Policy.
- Approve requests to acquire mobile devices for official New York State purposes in accordance with the approved Mobile Device Plan. Approval may only be granted by authorized Client Agency representatives in accordance with an approved Mobile Device Plan. Pursuant to this Policy, Client Agency should not authorize more than one data plan per user.
- Submit requests for mobile devices and voice and/or data plans to ITS using ITSM.
- Notify ITS as soon as possible of any change in employment status (transfers, terminations, etc.) of current Client Agency mobile device users which warrants termination of the user's mobile device or any other change to the user's mobile service.
- Consult the Chief Legal Officer of Client Agency regarding any legal preservation obligations associated with the use of mobile devices.
- Collect and return to ITS, State-owned mobile devices no longer needed due to separations, promotions or other changes in status after consultation with Client Agency Chief Legal Officer to ensure all legal preservation obligations are met.
- Inform ITS of any security related changes to the standard mobile device management software configuration required for the agency to ensure proper device management for that agency.

ITS responsibilities include:
- Provide and periodically update best practices for who should or should not be provided mobile devices (See Appendix B).

- Provide Client Agencies with biannual reports identifying all the agency's mobile devices by device type, assigned user, and device activity levels.
- Provision mobile technology in accordance with this Policy, including separate funding agreements, as applicable.
- Maintain a record of standard device and mobile technology offerings.
- Maintain Client Agency specific security policies on the device via Mobile Device Management software.
- Where possible and practical, assist the Client Agency to preserve information on devices for legal or cybersecurity purposes at the request and direction of the Chief Legal Officer of the Client Agency and in consultation with the Chief Legal Officer of ITS.
- Where possible and practical, assist the agency with obtaining records in response to requests or demands by oversight authorities.
- Issue invoices, as applicable, to Client Agencies for their mobile technology utilization in accordance with ITS service rates published at https://its.ny.gov/service-rates.

Usage Standards:

All users utilizing mobile devices in the performance of their job duties are required to adhere to the following provisions, as well as the provisions of NYS-P14-001, Acceptable Use of Information Technology Resources. Failure to adhere may result in the suspension of service and/or removal of the device. Users who are issued a mobile device are accountable for appropriate and responsible use of the device. Therefore, the assigned user is required to:

- Immediately notify ITS and the user's agency if the device is lost, stolen or compromised so it may be replaced or repaired. Consult the Chief Legal Counsel of Client Agency regarding Client Agency legal obligations related to a lost, stolen or compromised device, as well as compliance with the Office of the State Comptroller's Guide to Financial Operations Chapter XII.10.E – Reporting the Theft, Loss or Misuse of State Assets, if applicable.
- Only activate applications and external services on the device related to work requirements and only with prior approval from their agency and ITS.
- Maintain proper use of the device; protect the device from theft, damage, abuse and unauthorized use. Never deliberately damage or destroy the device or its components.
- Not alter the operation or the operating system of the device ("jail breaking" iOS or "rooting" Android).
- Not make any changes to the device, carrier plans or billing account.
- Not enable any additional restriction or user enabled backup passwords on state-issued devices.
- Not attempt to procure a different device or alter the service plan.
- Notify ITS if user plans to travel internationally in an approved official capacity so ITS can establish an international roaming plan. International voice/data service must be initiated through an ITSM service catalog request under **Mobile Device Services/Mobile Service Feature Changes**. The Client Agency's business and/or financial executive must approve the request.

- Notify ITS and the user's agency of any long-term leave for the purposes of suspending service.
- Update the device software as system updates become available to ensure the device and technology remain supported. Devices should be turned on and connected to secure Wi-Fi at least monthly to allow security patches and updates to download.
- Comply with Policies found in NYS ITS Policy: NYS-P03-002 Information Security, NYS-P14-001 Acceptable Use of Information Technology Resources, NYS-S14-009 Mobile Device Security, NYS-S14-011 Enterprise Mobile Management Technical Standard.

6.0 Definitions of Key Terms

Except for terms defined in this policy, all terms shall have the meanings found in http://www.its.ny.gov/glossary.

7.0 Contact Information

Submit all inquiries and requests for future enhancements to the policy owner at:

Workplace Services
Reference: ITS-P18-007
NYS Office of Information Technology Services
State Capitol, ESP, P.O. Box 2062
Albany, NY 12220
Telephone: (518) 402-7000

Questions regarding billing or the baseline calculations should be directed to the ITS Accounts Receivable – Billing Unit at: ITSBilling@its.ny.gov.

Questions regarding standard devices, inventory counts, or Mobile Device Plan should be directed to the ITS Mobile Device Team at: its.sm.enterprisemobility@its.ny.gov.

8.0 Revision History

This policy shall be reviewed at least once every two years to ensure relevancy.

Date	Description of Change	Reviewer
07/15/2020	Original policy issuance	Chief Operations Office

Date	Description of Change	Reviewer
12/22/2020	Updated owner, lost/stolen device procedure, and standard device accessories	Chief Technology Office

9.0 Related Documents

APPENDIX A: MOBILE DEVICE DEFINITIONS, USES, AND PLANS

APPENDIX B: MOBILE DEVICE PLAN BEST PRACTICES

APPENDIX C: EXAMPLE MOBILE DEVICE PLAN

NYS-P03-002 Information Security

NYS-P14-001 Acceptable Use of Information Technology Resources

NYS-S14-009 Mobile Device Security

NYS-S14-011 Enterprise Mobile Management Technical Standard

APPENDIX A: MOBILE DEVICE DEFINITIONS, USES, AND PLANS

1. **Cell phone** - A telephone with access to a cellular radio system so it can be used over a wide area, without a physical connection to a network. A cell phone only allows users to place and receive voice calls and text messages. Requires only a voice plan.

2. **Smartphone** - A mobile phone that performs many of the functions of a computer, typically having a touchscreen interface, Internet access, and an operating system capable of running downloaded applications. The use of a smartphone requires a data plan.

3. **Aircard/MiFi** – An aircard can be connected to a cellular network and provide internet access for a single device. A MiFi device can be connected to a cellular network and provide internet access for up to ten devices. The use of an aircard/MiFi requires a data plan.

4. **Tablet** - A tablet is a wireless touch screen personal computer (PC) that is smaller than a notebook/laptop but larger than a smartphone. Modern tablets are built with wireless Internet or local area network (LAN) connectivity and a variety of software applications, including business applications, and Web browsers. A tablet may be used 1) with a data plan or 2) without a data plan by connecting it to a LAN, tethering it to a smartphone, or connecting it to a Wi-Fi or MiFi device.

APPENDIX B: MOBILE DEVICE PLAN BEST PRACTICES

Introduction:
For the purposes of this policy, mobile devices shall include cell phones, smartphones, aircard/MiFi devices, and tablets. A Mobile Device Plan should include the user's name, e-mail address, and justification of need. The following best practices and device options are designed to assist Client Agency officials in making decisions pertaining to the assignment of mobile devices to users.

Best Practices:
The following are categories where the use of a mobile device may be considered. Users may fall within none, one, or more of these categories.

- **Mobile Users -** Mobile devices may be required for users who:
  o Spend a large portion of their daily work activities (20% or more) in a mobile non-fixed, and/or travel capacity;
  o Are required to work in three or more physical locations in a given 30-day period;
  o Have employment responsibilities that require systematic capture of information via data input, sensors, cameras, or other electronic means; and/or
  o Are assigned to duty stations where issuance of fixed telephone or network connections are impractical for cost, reliability, or other reasons.

- **On-call Users -** Mobile devices may be required for users who:
  o Are expected and required to be on-call and to perform their job duties outside of regular business hours; and/or
  o Routinely use, review, or produce sensitive data that may also be subject to compliance rules and regulations that require additional technology controls that cannot be accommodated by non-State-issued communications equipment.

- **Emergency Equipment -** Mobile devices may be required for users who:
  o Are expected to communicate during emergencies;
  o Have a role in emergency response; and/or
  o Have employment responsibilities that require ready access to geographic location data.

Device Options:
If it is determined that it is necessary for a user to have a mobile device to perform their daily employment responsibilities, the following are recommended use cases:

- A **cell phone** should be considered in cases where a user only needs to make/receive voice calls and/or send/receive text messages, and no alternative communication method is available.
- A **smartphone** should be considered in cases where a user needs to make/receive voice calls as well as access the Internet, use e-mail, and/or exchange written, or graphic information and Wi-Fi is not available.

- A **tablet** should be considered in instances where users need to access the Internet, e-mail or other applications, and/or exchange written or graphic information, but do not need to make/receive voice calls. Tablets can be Wi-Fi-only or include a data plan. If a data plan is needed, the user should not also have a smartphone. A tablet is not needed when the user has a laptop.
- An **aircard/MiFi** should be considered in instances where a user needs to access the Internet, e-mail or other applications, but already possess a laptop or tablet device that is Wi-Fi-only.

APPENDIX C: EXAMPLE MOBILE DEVICE PLAN

Summary: This document outlines the Agency's plan for mobile device usage and assignment of mobile devices, as required by ITS-P18-007 Mobile Device Provisioning, Deprovisioning, and Replacement policy. This plan should be regularly maintained and re-certified to reflect any changes in Agency mobile device needs.

Mobile Device Provisioning Guidelines: The following user roles are approved for mobile devices:

- **Mobile workforce** - Users of Unit A are in travel status approximately 40% of the time. To perform their job duties effectively, they are expected to regularly respond to e-mail communications, even when in travel status.
    - Approved device type: smartphone
- **On-call workforce** - Users of Unit B are required to be reachable via phone call during off-hours.
    - Approved device type: cell phone
- **Emergency response team** – Users of Unit C are part of an emergency response team, and often need to perform work in a location different from their normal workstation. Given that data connectivity may not be readily available, a portable data connection is needed.
    - Approved device type: MiFi
- **Emergency vehicles** – Unit D has a fleet of vehicles that are used to perform everyday business functions. The users working in unit D do not have their own individual State-issued cell phones.
    - Approved device type: cell phone to be left in vehicle

Exceptions to One Data Plan Limitation: Per ITS-P18-007, the Agency will not authorize more than one data plan per user. The following is a list of users that have more than one data plan, and associated justification that describes the reason why the direction per ITS P18-007 cannot be followed:

Approvals for Mobile Devices: Per ITS-P18-007, the Agency is responsible for ensuring that the business and financial approval of all Agency mobile devices is in accordance with this Plan.