1.0 Purpose and Benefits

This policy sets forth the process for developing, updating, and publishing enterprise information technology policies, standards, and guidelines.

A cohesive process for the development of policies, standards, and guidelines promotes:

- alignment with the agency’s mission, vision, and strategic priorities;
- consistent formatting and professional presentation; and
- efficient, effective, and transparent operations.

2.0 Authority

Section 103(10) of the State Technology Law provides 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 all enterprise information technology policies, standards, and guidelines promulgated by ITS.

4.0 Information Statement

Enterprise information technology policies, standards, and guidelines shall be established and updated in accordance with this policy.

4.1 Classification

All documents are classified into two categories and three forms.

Category

Public-facing statewide documents - Apply to all “State Government” entities as defined in Executive Order 117 or “State Agencies” as defined in Section 101 of the State Technology Law (“State Entities”), their employees, and all others, including third parties (such as local governments, consultants, vendors, and contractors), that use or access any ITS Information Technology Resource for which ITS has administrative responsibility, including systems managed or hosted by third parties on behalf of ITS. Where a conflict exists between this Policy and a State Entity’s policy/standard, the more restrictive policy/standard will take precedence.

Internal documents – Apply to ITS, all that receive services from ITS, and affiliates of same (e.g., contractors, vendors, solution providers), which have access to or manage State Entity information.

Form

Policy – A formal, high-level statement that outlines an organization’s general beliefs, values, goals, objectives, and expectations for a specified subject area. Compliance with the policy is required.

Standard – A directive, mandatory action, rule, or norm surrounding a particular practice. A standard can be a stand alone document or make a policy more meaningful and effective by including accepted specifications for hardware, software, or behavior. Compliance with the standard is required.

Guideline – Guidance, best practices, recommendations or administrative instructions to perform specific task. A guideline can be a stand alone document or make a policy or standard more meaningful and effective. Compliance is optional, but strongly suggested.

4.2 Development

Using the most current template, the policy, standard, or guideline must include, at a minimum, the following sections in this exact order:

1.0 Purpose and Benefits
Clear statement of the objective and benefits the policy, standard, or guideline provides to the target audience.

2.0 Authority
Specific reference to the law, rule, regulation, executive order, industry standard, or control agency directive in support of the document.

3.0 Scope
Description of the target audience for which this policy, standard, or guideline applies.

4.0 Information Statement
Formal outline of expectations, acceptable behavior, preferred methodology, or detailed actions required of the target audience.

5.0 Compliance
Identification of the effective date of the document; the date that compliance will be expected, if applicable; details of actions required to monitor compliance with the document; exception reporting instructions; and any consequences that may occur if the target audience is found to be non-compliant.

6.0 Definitions of Key Terms
Alphabetical list of significant terms used in the document that are either newly introduced, uncommon, technical, or have more than one meaning. All documents shall include a link to ITS’ online glossary of terms.

7.0 Contact Information
Owner contact information to promote straightforward communication with the target audience.

8.0 Revision History
Outline of the document’s prescribed review period and all previous modifications performed.

9.0 Related Documents
Links to additional documents, source information, or resources on the subject matter.

4.3 Review
The draft policy, standard, or guideline must be vetted through the specific division’s internal review process. A review opportunity is provided to those who will implement, be affected by, or otherwise have a stake or interest in the policy, standard, or guideline. After all necessary internal review has occurred, the document is submitted for numbering and approval distribution.

4.4 Numbering
All policies, standards, and guidelines receive a unique reference number prior to publication. Each reference number consists of a three character category code, a one
character form code, two digit year code, and a three digit sequential number. For example, this policy’s reference number is NYS-P09-003.

**Category Code**
- NYS – Statewide
- ITS – Internal

**Form Code**
- P – Policy
- S – Standard
- G – Guideline

Owners do not have the right to assign, reserve, change the format of, and/or reuse rescinded or obsolete reference numbers.

### 4.5 Approval
Once numbered, the policy, standard, or guideline will be distributed to all necessary executive approvers.

Division of Legal Affairs must review all policies, standards, and guidelines for suitability and consistency with all applicable laws, rules, and regulations.

After all necessary approvals have been received, the policy, standard, or guidelines is finalized and sent for publication.

### 4.6 Publication
The Public Information Office must review all policies, standards, and guidelines for compliance with formatting and branding guidelines.

The policy, standard, or guideline is publicized utilizing the following format based on category:

- **Statewide**
  - ITS public website and ITS Inside Edge

- **Internal**
  - ITS Inside Edge

Additional communication correspondence may be utilized for publication purposes.

### 4.7 Rescission
If a policy, standard, or guideline’s subject matter is no longer relevant, no longer aligns with strategic priorities, becomes obsolete due to changes in technology or a division reorganization, or the subject matter is more logically combined with another policy, standard, or guideline, a decision may be made to rescind the document.

A policy, standard, or guideline may be rescinded with a signed, written directive from the owner or appropriate level of ITS leadership. Any references to the rescinded policy, standard, or guideline that exist in related documents or the agency’s websites should be properly removed or updated. The corresponding reference number will not be used for any subsequent policy, standard, or guideline.
4.8 **Revisions**
Owners are required to periodically perform a thorough review of the policy, standard, or guideline to ensure relevancy and proper branding updates:

**Policy:**
- At least once every two years.

**Standard or Guideline**
- At least once every year.

Material changes or enhancements to existing policies, standards, or guidelines are subject to the approval process as outlined in section 4.5 of this policy.

### 5.0 Compliance

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

### 6.0 Definitions of Key Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Internal Controls Office</strong></td>
<td>Definition needed</td>
</tr>
<tr>
<td><strong>Owner</strong></td>
<td>Definition needed</td>
</tr>
<tr>
<td><strong>Public Information Office</strong></td>
<td>Definition needed</td>
</tr>
</tbody>
</table>

Refer to the ITS Glossary for the meaning of other terms or acronyms used in this Guideline.
7.0 Contact Information

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

Internal Controls Office
Reference: NYS-P09-002
NYS Office of Information Technology Services
State Capitol, ESP, P.O. Box 2062
Albany, NY 12220
Telephone: (518) 474-9865
Email: its.sm.internalcontrols@its.ny.gov

Statewide technology policies, standards, and guidelines may be found at the following website: http://www.its.ny.gov/tables/technologypolicyindex

8.0 Revision History

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

<table>
<thead>
<tr>
<th>Date</th>
<th>Description of Change</th>
<th>Reviewer</th>
</tr>
</thead>
<tbody>
<tr>
<td>04/04/2002</td>
<td>Original policy release</td>
<td>OFT</td>
</tr>
<tr>
<td>10/01/2009</td>
<td>Revised policy</td>
<td>CIO/OFT</td>
</tr>
<tr>
<td>01/15/2010</td>
<td>Revised to correct formatting and technical errors</td>
<td>CIO/OFT</td>
</tr>
<tr>
<td>12/04/2017</td>
<td>Revised policy</td>
<td>Internal Controls Office</td>
</tr>
</tbody>
</table>

9.0 Related Documents

NYS-P08-002 Authority to Establish Enterprise Information Technology Policies, Standards, and Guidelines