



New York State Information Technology Policy	No: NYS-P09-003
IT Policy: Process for Establishing Information Technology Policies, Standards, and Guidelines	Updated: 12/27/2019
	Issued By: NYS Office of Information Technology Services Owner: Internal Controls Office

1.0 Purpose and Benefits

This policy sets forth the process for developing, updating, and publishing 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 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 all policies, standards, and guidelines promulgated by ITS.

4.0 Information Statement

All ITS 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

1. 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 of State Entities (such as 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 the ITS.
2. Internal documents – Apply to all ITS employees, and may apply to ITS contractors who have access to or manage State Entity information and/or ITS client agencies.

Form

1. 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 a policy is required.
2. Standard – A directive, mandatory action, rule, or norm surrounding a particular practice. A standard can be a standalone document or make a policy more meaningful and effective by including accepted specifications for hardware, software, or behavior. Compliance with a standard is required.
3. Guideline – Guidance, best practices, recommendations or administrative instructions to perform a specific task. A guideline can be a standalone document or make a policy or standard more meaningful and effective. Compliance with a guideline is non-compulsory, 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 of the policy, standard, or guideline.

2.0 Authority

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

3.0 Scope

Description of the target audience to 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; and exception reporting instructions if appropriate.

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.

7.0 Contact Information

Owner contact information to promote direct communication with the target audience.

8.0 Revision History

Outline of the prescribed review period and all previous modifications of the document.

9.0 Related Documents

References to additional documents, source information, or resources on the subject matter.

4.3 Review

The draft policy, standard, or guideline must be vetted using ITS' established internal review process. The ITS 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 internal reviews have 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 – Public-facing statewide document
- ITS – Internal document

Form Code

- P – Policy

- S – Standard
- G – Guideline

Owners do not have the right to assign, reserve, change the format of, 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. After all necessary approvals, the policy, standard, or guideline is finalized and sent for publication.

4.6 Publication

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

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

Public-facing statewide documents

ITS public website and ITS Inside Edge

Internal documents

ITS Inside Edge

Additional communication correspondence may be utilized for publication purposes.

4.7 Rescission

If the subject matter of a policy, standard, or guideline is no longer relevant, no longer aligns with strategic priorities, becomes obsolete due to changes in law, in technology or a division reorganization, or is more logically combined with another policy, standard, or guideline, the document may be rescinded.

A policy, standard, or guideline may be rescinded with a written directive to the Internal Controls Office from the owner, with the approval of the ITS General Counsel. Any references to the rescinded policy, standard, or guideline that exist in related documents or the agency's websites should be 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 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

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 owner at:

Internal Controls Office
Reference: NYS-P09-003
NYS Office of Information Technology Services
State Capitol, ESP, P.O. Box 2062
Albany, NY 12220
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.

Date	Description of Change	Reviewer
04/04/2002	Original policy release	OFT
10/01/2009	Revised policy	CIO/OFT
01/15/2010	Revised to correct formatting and technical errors	CIO/OFT
12/04/2017	Revised policy	Internal Controls Office
12/27/2019	Revised policy to include new authority and scope language and clarify form definitions.	Internal Controls Office

9.0 Related Documents

[NYS-P08-002 Authority to Establish Enterprise Information Technology Policies, Standards, and Guidelines](#)