



# Office of Information Technology Services

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www.its.ny.gov

<b>Office of Information Technology Services Policy</b>	<b>No:</b> ITS-P20-004
<b>ITS Policy:</b> <b>Technology Projects in Response to Critical Incidents and Governor's Initiatives</b>	<b>Issued:</b> 12/11/2020
	<b>Issued By:</b> NYS Office of Information Technology Services <b>Owner:</b> Chief Portfolio Office

## 1.0 Purpose and Benefits

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During **Critical Incidents**, the Office of Information Technology Services (ITS) is often faced with many requests from the Executive Chamber or ITS supported agencies (client agency) for work items to support emergency, crises, and disaster response. The typical Information Technology (IT) Governance processes utilizing the IT Investment Request Form, Agency Governance Boards, and Portfolio Executive Board for decision-making may not be well suited to support all response efforts during a Critical Incident or Governor's initiative related thereto. For these situations, ITS has created an expedited project and initiatives submission and approval process. This policy outlines the expedited project and initiative submission and approval process to serve as a repeatable process during Critical Incidents or Governor's initiatives related thereto.

## 2.0 Authority

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*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<sup>1</sup>*, established January 2002, provides the State Chief Information Officer (CIO) 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.

<sup>1</sup> All references to Executive Order 117 refer to that which was originally issued by Governor George E. Pataki on January 28, 2002 and continued by Executive Order 5 issued by Governor Eliot Spitzer on January 1, 2007, Executive Order 9 issued by Governor David A. Patterson on June 18, 2008, and Executive Order 2 issued by Governor Andrew M. Cuomo on January 1, 2011, and Executive Order 6 issued by Governor Kathy Hochul on October 8, 2021.

Details regarding this authority can be found in NYS ITS Policy, [NYS-P08-002 Authority to Establish Enterprise Information Technology Policies, Standards and Guidelines](#).

### 3.0 Scope

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This policy document applies to ITS and its employees (including full-time, part-time, and temporary employees), contractors, consultants, volunteers, interns, and ITS supported agencies (“Client Agency”).

### 4.0 Information Statement

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The New York State Office of Emergency Management is responsible for coordinating the activities of all State agencies to protect New York's communities, economic well-being, and environment from natural and human caused disasters and emergencies. The State's Emergency Operations Center has four levels of activation; this Policy applies when the level of activation is at either Level 1 (Full State/Federal Response) or Level 2 (Full Activation). This policy also applies when the request supports a Governor's initiative related to a Critical Incident. All ITS executives will meet within one hour of receiving a project or initiative request to discuss and determine which teams need to take action.

#### 4.1 Equipment and Network Services Requests

During a Critical Incident, all requests related to equipment and network services will be entered into NY Responds – the incident management tool utilized by the State to triage and prioritize requests. ITS will continue to use the Information Technology Service Management System (ITSM) for related asset tracking, and for ITS to manage service requests.

#### 4.2 New Application or Application Enhancement Requests

Requests for new applications, new services, or application enhancements during a Critical Incident, or as a result of a Governor's initiative related thereto at an initial stage will include:

- A clear business owner or sponsor for the effort.
- A defined business need associated with an objective that supports Critical Incident response.
- An understanding that costs may be incurred for the development, as well as ongoing operational/maintenance requirements; and, the business sponsor is accepting responsibility for financial obligations, including, but not limited to ascertaining whether State Finance Law Section 163 applies.

The recipient of a request will route it to applicable Portfolio Executive Directors for review, coordination, and approval.

If a Portfolio Executive Director can execute a request utilizing existing tools, technologies, licenses, and resources, then they can approve or disapprove the request following consultation with the Chief Technology Officer, Chief Information Security Officer, and Chief Financial Officer. Requests for such applications and enhancements must use technologies that are currently supported by ITS. Application architecture for such applications must be explicitly approved by the Chief Technology Officer or a designee.

If a Portfolio Executive Director cannot execute a request within their own team, then the request will be escalated to the State CIO and Executive Deputy CIO for review. In these cases, meetings may be required to discuss across ITS Divisions. Escalated request decisions will be communicated across the ITS Leadership Team utilizing the its.dl.executive.team distribution list.

#### **4.2.1 Tracking New Applications or Application Enhancements**

New applications, new services, or application enhancements included in a Critical Incident response or Governor's initiative related thereto, will be tracked utilizing ITSM.

- Efforts costing less than \$50,000 or 500 hours will be tracked in ITSM as tasks and milestones under a project named for the Critical Incident or Governor's initiative related thereto.
- Efforts costing \$50,000 or more, or more than 500 hours, will be tracked as their own project within the ITSM Project Portfolio under a program associated with the Critical Incident or Governor's initiative related thereto.

All new applications and services will be added to the ITSM Application Portfolio.

## **5.0 Compliance**

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

## **6.0 Definitions of Key Terms**

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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**

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

**Chief Portfolio Office**  
**Reference: ITS-P20-004**  
**NYS Office of Information Technology Services**

**Swan Street Building, Core 4, Floor 2**  
**Email: [its.sm.CPO-GPS@its.ny.gov](mailto:its.sm.CPO-GPS@its.ny.gov)**

Statewide technology policies, standards, and guidelines may be found at the following website: <https://its.ny.gov/policies>

## 8.0 Revision History

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This policy should be reviewed consistent with the requirements set forth in [NYS-P09-003 Process for Establishing Information Technology Policies, Standards and Guidelines](#).

<b>Date</b>	<b>Description of Change</b>	<b>Reviewer</b>
12/11/2020	Issued policy	Chief Portfolio Office

## 9.0 Related Documents

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[NYS-S13-001 Secure System Development Life Cycle](#)