



# Office of Information Technology Services

State Capitol P.O. Box 2062  
Albany, NY 12220-0062  
[www.its.ny.gov](http://www.its.ny.gov)

<b>New York State Information Technology Policy</b>	<b>No:</b> NYS-P08-001
<b>IT Policy:</b>  <b>Plan to Procure</b>	<b>Updated:</b> 12/03/2025
	<b>Issued By:</b> NYS Office of Information Technology Services  <b>Owner:</b> Chief Strategy Office

## 1.0 Purpose and Benefits

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The purpose of this policy is to ensure New York State (NYS or State) strategically plans, procures, and manages Information Technology (IT) investments by fully leveraging the State's purchasing power and creating value for delivering better government services across the State enterprise through greater economies of scale.

This policy is designed to:

- Enable ITS to proactively understand the technology requirements of NYS government agencies.
- Assist in determining if the NYS Office of Information Technology Services (ITS) can supply the technology required, or if ITS must outsource on behalf of the NYS government agency.
- Enable ITS to propose cost effective solutions to NYS government agencies, where possible, instead of outsourcing.
- Ensure that all work performed by/on behalf of ITS is appropriately funded including, but not limited to: technology reviews, implementation, integration and ongoing operational support.

This policy further elaborates on the shared roles of ITS and the NYS Division of the Budget (DOB) in implementing the information technology governance framework as defined in both the [Statewide Policy for Information Technology Investment and Governance H-0300](#) and [Building a High Performance Government L-1220](#). Other partners critical to the successful execution of this policy are the NYS Office of the State Comptroller (OSC), and the NYS Office of General Services' (OGS) Business Services Center (BSC).

## 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> issued January 2002, 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 Policy, Standards and Guidelines](#).

## 3.0 Scope

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This policy applies to all “State Agencies” (SA) as defined in Section 101 of the State Technology Law. This includes employees, and all third parties (e.g., local governments, consultants, vendors, contractors, or any other entity that is authorized to do business on behalf of the SA), that use or access any Information Technology (IT) Resource for which the SA or ITS has administrative responsibility, including systems managed or hosted by third parties on behalf of the SA or ITS.

This policy applies to IT procurement activities of SAs or other entities not designated as ITS client agencies only if the products/services will integrate with or utilize ITS systems and/or services, including connectivity to the ITS network.

Procurement activities are all planned acquisitions, procurements, lease-purchases, and/or leases, including amendments to existing contracts, for covered IT products and services, regardless of the contract or procurement method utilized (IT Purchase). Examples include, but are not limited to, licensing agreements, open-market procurements, centralized contract procurements, or any other procurement made through or pursuant to the State Finance Law.

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<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.

IT products and services covered under this policy include, but are not limited to, operational technology (OT), information management, digital and electronic equipment, network-connected devices, software, cloud and “as a service” products, operating systems, interface systems, interconnected systems, data management systems, telecommunications, networks, broadband network management, information and data storage (on-premises/off-premises), hardware, licensing, subscription, IT consulting, project and staff augmentation services, data center facilities, maintenance, and training. Additionally, this policy encompasses security, identity and access management, threat detection and response, incident management, regulatory compliance, and governance of IT and OT environments to ensure data integrity, confidentiality, and availability across all technology systems.

## **4.0 Information Statement**

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To proceed with any IT Purchase, funding must first be identified in the approved fiscal year Agency Spend Plan in accordance with [DOB Budget Bulletin B-1184, Agency Spending Controls: Processes and Approval Requirements](#), which requires DOB approval via the Agency Spending Controls Application (ASCA) for agency spending based on request type and value.

As the primary provider of statewide IT policy and strategic direction, ITS delivers essential IT products and services to support the mission of NYS. ITS requires all SA IT procurements defined in Section 4.1.1 to meet the following conditions:

- ITS will provide the product/service requested, either directly or through a third-party vendor, **or** recommend that it be procured via an ITS-managed contract if that contract offers materially better pricing, support, or integration benefits. Otherwise, the SA may execute the procurement through a valid OGS or statewide contract. For commodity hardware purchases (e.g., simple monitors) that do not involve network integration or processing of NYS-classified data, and are procured via an approved OGS or statewide contract, the SA may execute the procurement directly following ITS review and approval of the associated Plan to Procure (PTP).
- Funding is approved that covers ITS implementation and ongoing operational support costs. In the event of a direct bill from ITS, the SA must pay it within 30 days of receipt.
- ITS and the SA will have a service level agreement for all ongoing operational support to be provided by ITS.

If an IT Purchase covered by this policy does not meet the conditions above, it will be considered and reviewed as an exception. In partnership with ITS, the SA should submit a Plan to Procure (PTP) via the ASCA system and obtain approval from ITS before issuing the procurement. OSC and OGS BSC require approval of a PTP as part of their administrative processes.

SAs submitting PTP requests for projects equal to or greater than \$10 million dollars are subject to reporting requirements outlined in [DOB Budget Bulletin H-0300, Statewide Policy for Information Technology Investment and Governance](#).

#### **4.1 Plan to Procure Process**

SAs must consult with ITS a minimum of 90 days (and up to 180 days for larger, more complex procurements) prior to the start of any planned technology procurement activities to discuss the feasibility of an ITS-supported solution. Early engagement with ITS will help to ensure that the procurement can proceed as quickly as possible. If it is determined that an exception request is still needed, the SA must work with ITS to prepare and submit the PTP request to the ASCA system with all of the information required below. Submission of the PTP indicates the approval of the agency head.

##### **4.1.1 Submission Requirements**

For SAs, as defined in Section 3.0, a PTP is required for:

- Any IT Purchase, including renewals, for [covered products or services](#), equal to or greater than \$50,000.
- Any cloud service, regardless of cost, including but not limited to: software, platform, and infrastructure.
- Any purchase that involves an exception to an OGS aggregate buy IT contract (e.g., PC's, laptops, printers), regardless of cost.

For SA's or other entities not designated as ITS client agencies, a PTP is required for:

- Any purchase of a product or service that will integrate with or utilize ITS systems or services, including connectivity to the ITS network, equal to or greater than \$50,000.

The PTP must include, at a minimum, the following:

- Detailed business case to describe the business goals, problem to be solved, or improvement being made, including process flow diagrams and/or user stories.
- Technology solution proposed (description of the products and services), including a breakdown of hardware, software and services.
- Data classification, data flow diagram, and any security/risk/privacy assessments completed.
- The procurement vehicle/contract expected to be used.

- The timeline for implementation.
- Any integrations between third-party systems and ITS products/services.
- A detailed profile of the SA's system and functional requirements including information security and compliance standards and requirements.
- Adherence to all applicable NYS IT Policies and Standards.
- A copy of the ITS solution proposal and a detailed explanation of the criteria that are neither addressed by nor compatible with the State's technology standard/recommendation.
- A detailed cost/benefit analysis comparing the total cost of ownership for procuring and maintaining the requested product/service as compared to the ITS recommended product/service.
- A risk analysis ascertaining sustainability for a non-standard system, as well as any security/risk/privacy assessments completed.
- All solicitation drafts (e.g., Requests for Proposals [RFP]), Requests for Quotes [RFQ], etc.) and necessary supporting documents must be attached to the PTP request to facilitate a timely review and disposition.
- For renewals, previous contract, RFP response (if applicable), Service Level Agreement and details regarding technology included should be attached to the PTP request.
- Any other documentation or information requested by ITS during its review.

SAs are required to coordinate similar or common technology procurements across program areas, agency needs, and among their respective regional offices, institutions, and other facilities into a single, agency-wide procurement which will be reflected in a single PTP submission. To the extent possible, technology procurements should not be consolidated with those for non-technical products or services (e.g., equipment not connected to a network or the internet, program/policy support, training, organizational change management) that do not require a PTP review to facilitate PTP approval.

#### **4.1.2 Review Process**

ITS will review the PTP's submitted by SAs based upon the following criteria and any other information ITS deems relevant:

- The availability of existing/planned ITS products, services and contracts that meet the business need.

- The proposed solution, any integration points between third-party systems and NYS systems, and potential data sharing must adhere to ITS policies and technical standards, as well as any SA data compliance rules and requirements.
- Integration required (directory/network services, enterprise storage and backup, etc.).
- Total cost of ownership (hardware, software, consulting services, maintenance, training and other) of the proposed solution and the alternate ITS solution (if applicable).
- Funding source and procurement method, including purchase documentation (quotes, statements of work, RFPs, etc.).
- Completed enterprise risk assessment with analysis of risk and risk mitigation strategies.
- Knowledge transfer provisions to ensure any operational support required by ITS or the SA is accounted for.
- Resources required (number of ITS and consultant staff FTEs for both implementation and support).

During the review, ITS may refer the PTP request to a detailed review process track to better understand the effort, or specific technology components of the IT Purchase. ITS may also prepare and present an alternate proposal for any PTP's that include products or services provided or procured by the SA or a third-party vendor. ITS will convene a meeting with the SA to conduct a detailed review of the alternate proposal if one is provided.

SAs or other entities that are procuring technology that does not integrate with or utilize an ITS product/service/network can request that ITS performs a complete review as detailed above. The cost of this review will be estimated based on the complexity, and actual costs will be billed to the entity upon completion.

### **4.1.3 Disposition**

All dispositions will be provided to the requesting SA via the ASCA system.

Please note SAs must submit the final PTP approval form along with other required documentation to OSC and/or BSC. Purchase requests without a PTP approval from ITS will not be approved.

In order to complete a thorough and timely review of PTP requests, ITS will make every effort to meet the following PTP processing targets:

- Standard processing time is 15 business days from the time of submission.

- Large or technically complex IT Purchases processing time is 30 business days from the time of submission, or within reason.

Timeframes are contingent upon, and do not begin to run until the SA submits all necessary details and information required for a decision.

ITS approval of a PTP request does not transfer procurement ownership to ITS. SAs may continue to execute eligible procurements directly, provided the source contract is OGS-authorized and no ITS-managed enterprise agreement exists for the same category.

IT Purchases operating under a court order or injunction, a mandate from a state or federal agency, or critical equipment failures necessitating an emergency procurement to restore critical operations, will be expedited upon request by the agency head. Appropriate verification documentation, including specific deadline dates, must be attached to the PTP request. ITS reserves the sole right to waive the PTP process for an IT Purchase when deemed in the best interest of the State.

## **4.2 Solicitations**

A PTP approval from ITS is required before the SA releases a solicitation (e.g., RFP, PBITS). Following completion of the solicitation process, the SA must submit a second PTP for a 'Contracts – New' request containing solicitation supporting documentation, the final chosen vendor, contract cost, and total cost of ownership to sustain the project. The SA cannot announce an award to any other stakeholders prior to receipt of approval from ITS.

## **4.3 Lead Agency Status for Joint or Enterprise Procurements**

To advance procuring technology on behalf of the State, ITS review of a given acquisition may require the assignment of a "lead agency" for a particular technology initiative or a joint procurement opportunity. A lead agency is designated to ensure there is a committed "champion" for the initiative who drives the effort through completion. Once a lead agency has been designated, other SAs might be required to defer pursuing the same technology until a pilot or prototype on behalf of the State enterprise is complete.

In most cases, SAs will be requested to coordinate their procurement efforts with the lead agency. This can be accomplished by either incorporating all requirements into a single procurement based on what the lead agency learned from other SAs; procuring from an existing contract; or identifying a joint application development or system design between multiple SA efforts.

## 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.

If compliance with this policy is not feasible, SAs must request an exception through the NYS CIO.

## 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 Strategy Office**  
**Reference: NYS-P08-001**  
**NYS Office of Information Technology Services**  
**State Capitol, ESP, P.O. Box 2062**  
**Albany, NY 12220**  
**Email:CSO@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 shall be reviewed at least once every two years to ensure relevancy.

<b>Date</b>	<b>Description of Change</b>	<b>Reviewer</b>
05/15/1996	Issued policy	CIO/OFT
08/12/1996	Revised policy	CIO/OFT
02/16/1997	Revised policy	CIO/OFT
03/31/2004	Revised policy	CIO/OFT

04/01/2008	Policy NYS-P08-001 replaces policy 96-2A, Intent to Purchase; change of policy number; change of policy name from Intent to Purchase to Plan to Procure; change process workflow; and  change threshold limits.	CIO/OFT
11/03/2008	Reduced PTP request threshold from \$100K to \$50K. Reduce staff augmentation renewal option  from 2 years to 1 year. Added allowance for 18-month fast track procurements.	CIO/OFT
07/16/2009	Section 3.1.2 added Printer Aggregate Contract under #2; added McAfee Endpoint Security ELA under #3.	CIO/OFT
08/01/2010	Revised PTP Policy to align with the 2009-2012 NYS Enterprise IT Strategic Plan and provide new review thresholds.	CIO/OFT
07/06/2022	Revised policy to remove cost threshold and to add eventual integration of PTP process with the DOB ASCA system.	Chief Technology Office
12/2/2022	Revised policy to state that DOB ASCA system will be used for the submission and reviews of PTP's.	Chief Portfolio Office
07/06/2023	Revised policy to state that DOB ASCA system will be used for the submission and reviews of PTP's.	Chief Technology Office
12/03/2025	Revised policy	Chief Strategy Office

## 9.0 Related Documents

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[Division of the Budget Bulletin H-0300, Statewide Policy for Information Technology Investment and Governance](#)

[Division of the Budget Bulletin B-1184, Agency Spending Controls: Processes and Approval Requirements](#)

[Division of the Budget Bulletin L-1220, Building a High Performance Government](#)