

**NYS Technology Policy # P02-001
Process for Establishing & Implementing Statewide Technology Policies &
Standards**



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STATEWIDE TECHNOLOGY POLICY

Reference: P02-001

Technology Category: General

Policy Title: Process for Establishing Statewide Technology Policies & Standards

Replaces & Supersedes: N/A

Authority: [NYS Executive Order No. 117](#), Issued: January 28, 2002
NYS Executive Law § 206-a

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Review Date: April 10,

First occurrence of each defined term appears in *Italics* and is linked to the Definitions section.

Purpose

This policy sets forth the process for establishing statewide [technology policies](#), [procedures](#), [standards](#) and [best practice guidelines](#) for [state government](#) entities. This policy seeks to ensure:

- Uniformity in common technical standards and technology systems deployed by state government.
- Collaboration between and among state government entities; and
- That the collective input, technical knowledge and programmatic expertise of state government entities inform the policy, procedures and standards recommendations advanced to the State's Chief Information Officer (CIO).

Scope

This policy applies to all state government entities, as defined in [NYS Executive Order No. 117](#), issued by Governor George Pataki on January 28, 2002.

All information technology policies, standards, procedures or best practice guidelines affecting state government entities are subject to this policy.

Policy

Policies, standards, procedures or best practice guidelines shall be established in accordance with this policy.

Part 1. POLICY AGENDA & NEW INITIATIVES

- A. The CIO, pursuant to the authority first set forth above, is responsible for establishing statewide technology policies, standards, procedures or best practice guidelines for state government entities.
- B. The process for establishment shall, to the extent practical, solicit the collective input, technical knowledge and programmatic expertise of state government

entities; provided, however policies, standards, procedures or best practice guidelines may be established by the CIO without seeking such input prior to publication.

- C. State government entities may make recommendations for new policy or standards initiatives by contacting the New York State Office for Technology (OFT) at the following address:

Email: SPAC@oft.state.ny.us

Hard Copy:

Michael McCormack, Director
New York State Office for Technology
State Capitol, ESP
PO Box 2062
Albany, NY 12220-0062

- D. Proposed initiatives will be evaluated as to whether they advance the [State's](#) technology agenda, including the following, among other, criteria:
1. Does the issue to be addressed affect multiple state government entities?

 2. Is there a need or potential advantage to the State from adopting a uniform approach to this issue? E.g.:
 - i. Promote knowledge transfer and reduce learning curves for new technology solutions
 - ii. Protect and secure the State's IT infrastructure and/or data
 - iii. Reduce State resources applied to technology solutions
 - iv. Streamline the State's common IT systems and infrastructure
 - v. Streamline the delivery of information or services by promoting consistency in the handling, collection, transport or storage of data information
 - vi. Promote potential short or long term cost savings or cost avoidance.

Part 2. CATEGORIES

New initiatives shall be characterized within one of the following four categories:

Best Practice Guideline A case study and/or analysis which provides a benchmark for good business and IT practices in achieving a desired result. The analysis or case study highlights one or several proposed products, technology fields, analytical methodologies or IT

solutions which constitute a good approach for other entities pursuing similar solutions. While not mandatory, best practice guidelines are intended:

- To be informational,
- To facilitate knowledge transfer, and
- To shorten the learning curve for other entities addressing common technology issues.

Policy A prescribed or proscribed course of action or behavior which is to be followed with respect to the acquisition, deployment, implementation or use of information technology resources.

Procedure A set of administrative instructions for implementation of a policy or standard.

Standard(s) A prescribed or proscribed specific technical approach, solution, methodology, product or protocol which must be adhered to in the design, development, implementation or upgrade of systems architecture (e.g., hardware/software/services).

Standards are intended to establish uniformity in common technology infrastructures, applications, processes or data. Standards may be developed as a subset of, and within the context of, a broader technology policy.

Standards may define or limit the tools, proprietary product offerings or technical solutions which may be used, developed or deployed by state government entities.

Standards shall be designated as either "preferred" or "[mandatory](#)".

Preferred Technology Standards

A standard which must be complied with by state government, unless the state government entity obtains an exemption from the standard because of technical or other operational deficiencies. (See [Part 8](#), below, for exemption criteria.)

Mandatory Standards

A standard which must be complied with by state government. Exemptions are not granted or considered from mandatory standards.

Part 3. STANDARDS SETTING CRITERIA

A. Standards Goals

Standard(s) involving information technology shall:

- Promote consistency in the automation of the State's common infrastructure systems,
- Eliminate duplicative development efforts by multiple state government entities,
- Ensure continuity of ongoing State operations,
- Promote administrative efficiencies relating to development and maintenance of common data, and
- Enable the State to realize its full market power from using a statewide, enterprise approach to the selection of technology solutions.

B. Qualifying Criteria

At least one, but no more than two, technology solution(s) shall be designated as standards within a single technology category.

In order to be considered for designation as a statewide technology standard, a proposed technology solution must be measured against the following criteria:

1. The technology solution must meet the programmatic and technical needs of multiple state government entities in core functionality.
2. The technology solution(s) shall be selected based upon a business case analysis weighing the merits of the proposed solution against the following factors:
 - i. **Current Technology** - Is the proposed technology solution consistent with the statewide technology direction? E.g.:
 - Technology solution promotes the goals set forth in [Part 3 \(A\)](#), above.
 - Technology is current, and reflects industry trends or "best of breed" recommendations.

- Proposed technology solution offers potential for long life cycle - minimizes risk of technological obsolescence.
 - ii. **State Government Embedded Base** - Have state government entities already made an investment in the proposed technology solution, with reference to:
 - Size and scope of existing deployments of the technology solution among state government entities ("embedded base")
 - Current fiscal investment associated with embedded base
 - Acquisition, development and deployment timeframes associated with developing embedded base
 - iii. **Maintenance of Ongoing Business Operations** - Does the proposed technology solution enhance the ability of state government entities to maintain ongoing business operations?
 - iv. **Impact on State Resources** - What is the impact of the proposed technology solution on State resources? E.g.:
 - Administrative and fiscal resources required to implement proposed technology solution
 - Deployment timeframe to implement proposed technology solution(s)
 - Potential for cost savings or cost avoidance
 - v. **Alternatives** - Does the proposed technology solution represent the best solution among alternatives considered, based upon the foregoing technical and business case analysis?
- 3. The technology solution is offered to all state government entities under an enterprise agreement which serves the best interests of the State. Terms and conditions for proprietary solutions may include, but are not limited to:
 - i. The State's right to use and distribute custom programming developed for any one state government entity to additional state government entities and local governments or political subdivisions for no additional charge;
 - ii. Aggregate volume pricing discounts that reflect the aggregate buying potential of state government entities; and

- iii. Minimum product offering and maintenance guarantees from the proprietary developer/ manufacturer.

Part 4. NOTICE OF NEW POLICY/STANDARDS INITIATIVE

- A. As appropriate in conjunction with [Part 1 \(B\)](#), above, state government entities will be provided with advance notice that a new policy, standard, procedure or best practice guideline initiative is being undertaken. Such notice shall set forth the initiative scope, including those entities that may be potentially subject to, or impacted by, the outcome of the initiative ("stakeholders").
- B. Where applicable, a notice may also be broadcast to inform private sector suppliers of the proposed initiative and potential scope. Such notice shall be broadcast by the NYS Office for Technology in the NYS Contract Reporter.

Part 5. DEVELOPMENT & STAKEHOLDER COLLABORATION

- A. OFT will facilitate stakeholder collaboration, preparation of the business case analysis, and documenting and reporting stakeholder input to the CIO.
- B. OFT may use any mechanism(s) deemed by OFT appropriate to facilitate stakeholder collaboration in the initiative process. OFT shall determine the scope of such collaboration, which may include, but is not limited to:
 - 1. Use of existing, established workgroups or forums;
 - 2. Establishment of new workgroups comprised of program personnel;
 - 3. Establishment of technical committees to provide expertise in the development of the policy/standard, including but not limited to, the preparation of technical standards and specifications, and/or assisting in the preparation of data or analysis for a business case analysis of proposed alternatives.
- C. Stakeholders may include state government entities, and/or representatives from the private sector.

Part 6. APPROVAL & PUBLICATION

State government entities shall be bound by a policy, standard, procedure or best practice guideline upon issuance and publication.

- A. Issuance shall occur upon written approval by the CIO of the proposed policy, standard, procedure or best practice guideline.
- B. Publication shall occur upon the broadcast of a "Notice of Issuance of a Policy, Standard, Procedure or Best Practice Guideline". ("Notice") Broadcast shall occur upon:

- Public posting to the OFT Website; and/or
- Electronic or hard copy distribution to state government entities.

C. The Notice shall include the following information:

- Reference number
- Date on which the CIO approval is obtained ("Issue Date")
- Date on which the approval is broadcast ("Publication date")
- Date on which the policy or standard becomes effective and binding on state government entities ("Effective Date")
- The prior policy or standard, if any, being replaced, amended or superseded with the new publication
- Legal Authority for establishing the policy or standard
- Date on or about which the document will be reviewed by OFT for archiving, updating or replacement ("Review Date")
- Description of the policy or standard
- Description of required documentation or submissions, if any
- Compliance and enforcement requirements

D. The period of time between the publication date and the review date shall constitute the effective term of the policy or standard.

Part 7. PROCESS FOR IMPLEMENTING STANDARDS

A. User Group Coordination

In a technology category for which standards have been created, state government entities sharing a common standard or sharing commercial or [homegrown systems](#) which are deployed prior to the effective date of a standard ("[existing system](#)") shall develop common user groups to coordinate common application development.

User Group(s) shall:

1. Centrally coordinate, among other things:
 - The development of future enhancements having implications for all common users, including the establishing of priorities for the development of such enhancements, and

- The acquisition of future enhancements having implications for all common users, in particular allocating the costs for such statewide enhancements among the common users based upon proportionate share, and developing a budget for the shared costs and applications.
2. Define and monitor core application functionality which cannot be customized by state government entities;
 3. State government entities shall be required to collect and furnish data to OFT and the User Group reflecting administrative and fiscal costs associated with using and maintaining such common standards or existing systems.

B. Standards Implementation

State government entities are required to migrate to a standard once a standard has been established. The migration shall be effected in compliance with paragraphs (C) - (E), below.

C. New Systems Acquisitions

On or after the effective date of this policy, where standards have been established in a particular technology category, state government entities replacing existing systems or acquiring new systems shall: (a) obtain technical and price proposals from all technology standard(s); (b) document a technical and business case analysis from among the standards alternatives based upon the proposal which represents the best value for the state government entity.

D. Use of Existing Systems

Unless otherwise set forth in the standard, state government entities can continue to use their existing system for the remainder of the then-current life cycle or until such entity has a need for design and implementation of a [major upgrade](#) of a existing system.

E. Major Upgrade or Replacement of Existing Systems

Unless granted an exemption pursuant to [Part 8](#), below, state government entities are subject to this policy and will be required to move to an established standard in compliance with this Part 7 at the earlier of:

1. The end of existing system life cycle requiring replacement in full by a new acquisition; or
2. The need for design and implementation of a major upgrade of an existing system. Major upgrade shall include, but not be limited to, such things as:
 - i. substantial redesign of an existing system for the purpose of providing new application functionality;

- ii. upgrades to a new major version or release of a proprietary software product; or
- iii. application modifications which would involve substantial administrative or fiscal resources to implement.

Part 8. EXEMPTIONS FROM STANDARDS

No exemption will be considered from compliance with mandatory standards.

Where standards have been established, a state government entity may apply to OFT for an exemption by establishing a compelling technical and business case which warrants consideration of an exemption.

Application for an exemption shall be submitted to the OFT and shall include the following documentation:

- A. A detailed profile of the state government entity's existing system, including a detailed description of:
 - o System size
 - o User requirements
 - o Current platform
 - o Application functionality
 - o Required interfaces to other applications
 - o Administrative and fiscal costs associated with ongoing development and maintenance
 - o Any other documentation requested by OFT;
- B. A detailed explanation of the related criteria that are either not addressed by, or are incompatible with, the standard;
- C. A detailed cost/benefit analysis comparing the cost for:
 - o Maintaining the existing system;
 - o Migrating to an approved standard, based upon a detailed cost quote from each standard based upon the detailed requirements set forth in paragraph A above.

Exemptions granted will be subject to re-evaluation and review upon a change in the standard.

Definitions

A complete listing of defined terms for NYS Information Technology Policies, Standards, and Best Practice Guidelines is available in the [NYS Information Technology Policies, Standards, and Best Practice Guidelines Glossary](http://www.oft.state.ny.us/policy/glossary.htm) (<http://www.oft.state.ny.us/policy/glossary.htm>).

Terms defined in this policy:

Best Practice Guideline	shall have the meaning set forth in Part 2 of this policy.
Embedded Base	shall mean the collective existing systems of state government entities.
Existing System	shall mean a commercial or homegrown system which is deployed prior to the effective date of a standard, and includes, without limitation, hardware, software, development tools, applications and protocols.
Homegrown System	shall mean an automated system which a state government entity develops or has developed for its own, or another state government entity's use.
Major Upgrade	shall include, but not be limited to, such things as: <ol style="list-style-type: none">1. substantial redesign of an existing system for the purpose of providing new application functionality;2. upgrades to a new major version or release of a proprietary software product; or3. application modifications which would involve substantial administrative or fiscal resources to implement.

Mandatory Standard	shall mean a standard which must be complied with by state government. Exemptions are not granted or considered from mandatory standards.
Policy	shall have the meaning set forth in Part 2 of this policy.
Preferred Technology Standard	shall have the meaning set forth in Part 2 of this policy.
Procedure	shall have the meaning set forth in Part 2 of this policy.
Standard	shall have the meaning set forth in Part 2 of this policy.
State	shall mean the State of New York.
State Government	shall have the same meaning as defined in Executive Order No. 117 , first referenced above; and shall include all state agencies, departments, offices, divisions, boards, bureaus, commissions and other entities over which the Governor has executive power and the State University of New York, City University of New York and all public benefit corporations the heads of which are appointed by the Governor; provided, however, that universities shall be included within this definition to the extent of business and administrative functions of such universities common to State government.
Technology	shall have the same meaning as defined in Executive Law, § 205(5), being a good, service, or good and service that results in a digital, electronic or similar technical method of achieving a practical purpose or in improvements in productivity, including but not limited to, information management, equipment, software, operating systems, interface systems, interconnected systems, telecommunications, data management, networks, and network management, consulting, supplies, facilities, maintenance and training. The term "Technology" shall be deemed to include all

tasks and products encompassed within the term "services", as defined in New York State Finance Law, § 160 (7).

Required Submissions & Notices

Where a state government entity requests an exemption from a preferred technology standard, such request shall be filed in writing with OFT at least ten (10) weeks in advance of the need to undertake a major upgrade. Such request shall in all other respects comply with the requirements of [Part 8](#) of this policy.

The technology or system which is the subject of the exemption request, if granted, shall also be required to be detailed in the state government entity's Annual Technology Plan (ATP) with a notation that it falls within an exemption from an established preferred technology standard.

Compliance

The CIO may periodically review the coordination of efforts between OFT and state government entities with respect to the establishment of and adherence to the policies, preferred technology standards, procedures or best practice guidelines established for the State. Such review may include, but is not limited to, review of the technical and business analyses required to be developed pursuant to this policy, and other project documentation, technologies or systems which are the subject of the published policy or standard.

Contact Information

Questions concerning this policy may be directed to the New York State Office for Technology by e-mailing policy@oft.state.ny.us or calling (518) 473-5115.