

# Information Technology Policy

## IT Policy Waiver Review Process

<b>ITP Number</b> ITP-BUS004	<b>Effective Date</b> August 4, 2011
<b>Category</b> Business	<b>Supersedes</b> ITP-EPM003
<b>Contact</b> <a href="mailto:RA-ITCentral@pa.gov">RA-ITCentral@pa.gov</a>	<b>Scheduled Review</b> March 2021

### 1. Purpose

Establishes the process and [procedures](#) for requesting and approving waivers to Information Technology Policies (ITPs) published by the [Office of Administration, Office for Information Technology](#):

### 2. Scope

This [Information Technology Policy \(ITP\)](#) applies to all departments, boards, commissions and councils under the Governor's jurisdiction. Agencies not under the Governor's jurisdiction must comply with this IT policy if utilizing [IT Resources](#) to support their business functions. All other agencies not under the Governor's jurisdiction are strongly encouraged to follow this IT policy.

### 3. Policy

Adherence to IT Policies is required to conduct Commonwealth business as well as to protect the Commonwealth's IT Resources and mitigate business and IT risks. There are times where circumstances require a waiver to an IT policy for a specific period. OA/OIT has an [IT policy waiver](#) process in which an agency can request a waiver from the requirements of a specific IT policy. The IT policy waiver process is comprised of four sub-processes:

1. Waiver Request Submission
2. Waiver Request Review
3. Waiver Request Decision
4. Waiver Expiration/Rescission

### Waiver Scenarios Table reference document

Refer to the supporting document, RFD-BUS004A, *Waiver Scenarios Table* for a list detailing when waivers must be submitted. This table does not capture every scenario and should be treated as a reference only. Agencies should contact [RA-ITCentral@pa.gov](mailto:RA-ITCentral@pa.gov) for additional guidance on waiver submission criteria when necessary.

### 3.1 Waiver Request Submission

#### Who can submit IT policy waiver requests?

The agency representative may submit a waiver request to OA/OIT by entering the pertinent information into the IT policy waiver review process.

An agency under the Governor's jurisdiction may be required to submit an IT policy waiver request when deemed necessary by the Commonwealth CIO.

### **Waiver Request Justification Criteria**

The following must be included in an IT policy waiver request ~~submission~~:

- a. Agency and name of the person requesting the IT policy waiver;
- b. The IT policy or IT policies for which the IT policy waiver is being requested and the applicable section(s) of the IT policy requiring exemption;
- c. The specific service, technology, or product for which the IT policy waiver is being requested;
- d. A technical or business case that identifies the specific action and how the request warrants exemption based on internal/external risks, cost, and/or business impact assessments;
- e. The business and information technology impact if the IT policy waiver is not approved;
- f. Any supporting documentation as required in the policy for IT policy waiver submissions;
- g. A completed OPD-BUS004A IT Policy Waiver Attestation;
- h. Any additional documentation requested by the IT policy waiver process reviewers.

### **Submission Deadlines**

IT policy waiver requests should be submitted at least twenty (20) business days prior to the date when a decision on the IT policy waiver request is required. Requests submitted with less than twenty (20) business days' notice or that do not have the required or sufficient information for the review process are not guaranteed to be fulfilled in time.

### **3.2 Waiver Request Review**

OA/OIT will review all IT policy waiver requests. During the IT policy waiver review process, it may be determined that additional documentation may be required to assist IT policy waiver review process reviewers in their assessment to render a final decision. This is done on a case-by-case basis and facilitated through the IT policy waiver Request for Information (RFI) process. The requesting agency is responsible to reply to an RFI in a timely manner to avoid delays of an IT policy waiver request decision.

### **3.3 Waiver Request Decision**

OA/OIT will notify the agency of its determination on the IT policy waiver request, which may detail conditions and if the waiver is approved, will detail the approved waiver length.

By default, approved IT policy waivers are valid for a period of two (2) years for all policy domains, with the exception of Security Domain policies, which are valid for a period of one (1) year.

OA/OIT, at its discretion, may approve a different IT policy waiver expiration length for any policy, including "blanket waivers" which, based on business requirements, may provide a non-expiration timeframe or a waiver for a broader scope.

OA/OIT, at its discretion, may require agencies to follow specific conditions detailed in an approved IT policy waiver notification letter. The agency is responsible for ensuring that the conditions of the IT policy waiver approval have been satisfied to mitigate risks and prevent OA/OIT from rescinding the waiver.

### **3.4 Waiver Expiration/Rescission**

If no renewal request is received in the IT policy waiver review process, the IT policy waiver will terminate upon its expiration date. The associated IT policy must be followed upon expiration of its waiver.

An IT policy waiver renewal request does not cover any gap from a previously expired IT policy waiver. It is prudent that agencies submit a renewal IT policy waiver request at least twenty (20) business days prior to the current IT policy waiver's expiration date.

In addition to the right to rescind a waiver due to non-compliance with waiver conditions as detailed in 3.3 Waiver Approval section, OA/OIT, at its discretion, and for any reason, can rescind an active IT policy waiver. OA/OIT must communicate the decisions to rescind to the agency in a timely manner. The following personnel hold decision rights to rescind an IT policy waiver:

- Commonwealth Chief Information Officer
- Commonwealth Chief Information Security Officer
- Commonwealth Chief Technology Officer

## **4. Responsibilities**

- a. Office of Administration, Office for Information Technology (OA/OIT)** is the owner and manager of the IT policy waiver review process and has decision rights on all IT policy waiver requests.
- b. Governor's Jurisdiction agencies** are to receive the appropriate internal attestations from information technology leadership prior to submission of an IT policy waiver request to OA/OIT. OPD-BUS004A *IT Policy Waiver Attestation* must be completed and uploaded as part of the waiver request.
- c. Independent agencies** are to receive the appropriate internal attestations from information technology leadership prior to submission of an IT policy waiver request to OA/OIT. OPD-BUS004A *IT Policy Waiver Attestation* must be completed and uploaded as part of the waiver request.

## **5. Related ITPs/Other References**

Definitions of associated terms of this policy are published on the Office of Administration's public portal: <http://www.oa.pa.gov/Policies/Pages/Glossary.aspx>

Commonwealth policies, including Executive Orders, Management Directives, and IT Policies are published on the Office of Administration's public portal:

<http://www.oa.pa.gov/Policies/Pages/default.aspx>

- Management Directive 205.34 - *Commonwealth of Pennsylvania Information Technology Acceptable Use Policy*
- OPD-BUS004A – *IT Policy Waiver Attestation*
- RFD-BUS004B – *Waiver Scenarios Table*
- ITP-BUS000 – *Information Technology Policy Governance*
- ITP-PRO001 – *IT Procurement Review Process*

- [Technology Evaluation Planning Toolkit](#) (CWOPA Access Only)

## 6. Authority

Executive Order 2016-06 *Enterprise Information Technology Governance*

## 7. Publication Version Control

It is the user's responsibility to ensure they have the latest version of this publication, which appears on <https://itcentral.pa.gov>. Questions regarding this publication are to be directed to [RA-ITCentral@pa.gov](mailto:RA-ITCentral@pa.gov).

This chart contains a history of this publication's revisions. Redline documents detail the revisions and are available to CWOPA users only.

Version	Date	Purpose of Revision	Redline
Original	08/04/2011	Base Document	N/A
Revision	08/21/2015	<ul style="list-style-type: none"> <li>• Migrated policy into new ITP format; added Background, Definitions sections</li> <li>• Revised Section 4 Policy language for clarity and added               <ul style="list-style-type: none"> <li>○ 4 stages of Waiver Process</li> <li>○ Criteria for submission of waiver request</li> </ul> </li> <li>• Changed the waiver period for Security Domain ITPs to one (1) year while leaving the remaining waiver length of two (2) years as the default for all other ITP domains</li> <li>• Removed OIT Memoranda and Management Directives from list of documents suitable for a waiver</li> <li>• Added language to enable OA-OIT to approve any waiver expiration length for IT policies</li> <li>• Added language that the Commonwealth CIO may request a waiver request from any agency in Governor's jurisdiction</li> <li>• Added language that any COPPAR waiver requests needed before 20 business days is not guaranteed to be processed in time</li> <li>• Clarifying language regarding expiration of waiver gap coverage</li> <li>• Removed language from Section 8 and replaced with "Not Applicable for this IT Policy"</li> <li>• Added supporting document RFD-BUS004A Waiver Scenarios Table information</li> <li>• Added additional References</li> <li>• Expanded waiver submission requirements</li> <li>• Expanded waiver approval details</li> </ul>	N/A
Revision	07/22/2016	<ul style="list-style-type: none"> <li>• Removed IT Policy Lifecycle reference, replaced with ITP-BUS000 reference</li> <li>• Revised "Access" to "Accessibility" in the ITP Domains table</li> <li>• Added boilerplate language on location of published Commonwealth policies</li> </ul>	N/A
Revision	04/17/2017	<ul style="list-style-type: none"> <li>• Removed "Application" domain, replaced with "Software" in Information Technology Policy definition</li> <li>• Minor clarifications throughout</li> </ul>	N/A
Revision	05/25/2018	<ul style="list-style-type: none"> <li>• Added Responsibilities section</li> <li>• Migrated Definitions to Policy Glossary, linked relevant terms throughout</li> </ul>	N/A

		<ul style="list-style-type: none"> <li>Added OPD-BUS004A to ITP for required Attestation language</li> </ul>	
Revision	07/09/2018	<ul style="list-style-type: none"> <li>Updated RFD-BUS004A to RFD-BUS004B</li> </ul>	N/A
Revision	03/20/2020	<ul style="list-style-type: none"> <li>Removed references to COPPAR throughout</li> <li>Removed "Enterprise" throughout</li> <li>Clarified language throughout</li> <li>Added Rescission decision rights guidance</li> <li>Revised ITP title</li> </ul>	<a href="#">Revised IT Policy Redline &lt;03/20/2020&gt;</a>