

# Information Technology Policy

## *IT Policy Waiver Reference Document*

**Number**  
RFD-BUS004B

**Effective Date**  
March 2023

**Category**  
Business

**Supersedes**  
All Prior Versions

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**Scheduled Review**  
April 2025

### 1. IT Policy Waiver Scenarios Table

This table is for reference purposes only. The scenarios captured here are not the only potential scenarios and should not be construed as policy. Refer to the “Exemption from Policy” section of each IT policy to understand the exemption mechanism for that policy.

<u>Scenario</u>	<u>Waiver Required?</u>	<u>Requirements</u>
A security modification to an agency or Enterprise service that is not covered in a specific ITP.	Yes	<ol style="list-style-type: none"> <li>1. Waiver Request Submission Criteria (refer to BUS004)</li> <li>2. Centralized Risk register entry and/or <i>ITP-SEC40A, Risk Assessment and Acknowledgement</i> (depending on risk score)</li> </ol>
A security modification to an agency or Enterprise service that is covered in a published Security (SEC) ITP.	Yes	<ol style="list-style-type: none"> <li>1. Waiver Request Submission Criteria (refer to BUS004)</li> <li>2. Centralized Risk register entry and/or <i>ITP-SEC40A, Risk Assessment and Acknowledgement</i> (depending on risk score)</li> </ol>
Noncompliance risk that compromises the security posture of the Commonwealth.	Yes	<ol style="list-style-type: none"> <li>1. Waiver Request Submission Criteria (refer to BUS004)</li> <li>2. Centralized Risk register entry and/or <i>ITP-SEC40A, Risk Assessment and Acknowledgement</i> (depending on risk score)</li> </ol>

<u>Scenario</u>	<u>Waiver Required?</u>	<u>Requirements</u>
Noncompliance with a published ITP will have a negative business or financial impact to an agency.	Yes	1. Waiver Request Submission Criteria (refer to BUS004)
Products and/or services that are noncompliant with published ITPs and would result in public embarrassment, reputation damage, litigation, fines/penalties, loss of federal funding or a potential business or IT risk.	Yes	1. Waiver Request Submission Criteria (refer to BUS004) 2. Centralized Risk register entry and/or <i>ITP-SEC40A, Risk Assessment and Acknowledgement</i> (depending on risk score)
Agency has an inability to fully implement and/or comply with a published ITP.	Yes	1. Waiver Request Submission Criteria (refer to BUS004)
Changes in regulations or mandates that bring about unintentional non-compliance to a published ITP.	Yes	1. Waiver Request Submission Criteria (refer to BUS004)
Inability of an agency contracted resource to fully comply with a published ITP while performing Commonwealth work.	Yes	1. Waiver Request Submission Criteria (refer to BUS004) 2. Centralized Risk register entry and/or <i>ITP-SEC40A, Risk Assessment and Acknowledgement</i> (depending on risk score)
Usage of technology documented in an ITP that is classified "CURRENT".	No	N/A
New investment of technology documented in an ITP that is classified "CURRENT".	No	N/A
Current/continued usage of technology documented in an ITP that is classified "CONTAIN".	No	N/A
New investment of technology documented in an ITP that is classified "CONTAIN".	Yes	1. Waiver Request Submission Criteria (refer to BUS004) 2. Centralized Risk register entry and/or <i>ITP-SEC40A, Risk Assessment and Acknowledgement</i> (depending on risk score)

## 2. Risk Acceptance and Acknowledgement

OA/IT should work to obtain [OPD-SEC040A, Risk Assessment and Acknowledgement](#) whenever a risk with a risk score (a combination of risk likelihood and impact) of major or critical is found. All risks of any score shall be documented in the [Centralized Risk Register](#) and reviewed with agencies in regularly scheduled steering team meetings.

## 3. Default Length of Waivers

Waivers by default will be valid for a period of 1 year. All non-security domain ITPs by default will be valid for a period of 2 years. Domain Owners, at their discretion, may approve a different IT Policy Waiver expiration length.

#### 4. IT Policy Waiver Domains and Domain Owners:

Domain	Enterprise Domain Owners
Accessibility (ACC)	Accessibility Officer
Application (APP)	Enterprise Services (ES)
Business (BUS)	Technology Business Office Director (TBO)
Information (INF)	Data Officer
Integration (INT)	Data Officer
Network (NET)	Enterprise Chief Technology Officer (ETSO)
Platform (PLT)	Enterprise Chief Technology Officer (ETSO)
Privacy (PRV)	Enterprise Information Security Officer (EISO)
Security (SEC)	Enterprise Information Security Officer (EISO)
Software (SFT)	Enterprise Chief Technology Officer (ETSO)
System Management (SYM)	Enterprise Technology (ETSO)

#### 5. IT Policy Waiver Artifacts Table:

IT Policy Waiver Question	Artifacts Needed for Submission
Is this a Waiver Renewal? Yes	Previous Cover Letter Conditions of Approvals Artifacts
Is this based on a recommendation from a Cloud Use Case Review? Yes	Cloud Use Case Review approval letter (if applicable)
Business/Technology Risks and Impacts	Risk Assessment and Acknowledgement Document (if applicable)

**\*\* One or more of the above may be required depending on the type of waiver submission\*\***

#### 6. Publication Version Control

It is the Authorized User's responsibility to ensure they have the latest version of this publication, which appears on <https://itcentral.pa.gov> for Commonwealth personnel and on the Office of Administration public portal: <http://www.oa.pa.gov/Policies/Pages/default.aspx>.

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:

Version	Date	Purpose of Revision
Original	08/21/2015	Base Document
Revision	07/09/2018	Updated RFD-BUS004A to RFD-BUS004B.
Revision	09/23/2021	<ul style="list-style-type: none"> <li>• Updated Title.</li> <li>• Updated requirements in scenarios table.</li> <li>• Added Waiver Domains and Owners table.</li> <li>• Added IT Policy Waiver Artifacts table.</li> </ul>
Revision	03/04/2022	<ul style="list-style-type: none"> <li>• Added additional scenarios/criteria for Risk Assessment and Acknowledgement document.</li> <li>• Utilizing Accessible ITP Template.</li> </ul>
Revision	04/01/2024	<ul style="list-style-type: none"> <li>• Added section pertaining to risk assessments.</li> <li>• Added section regarding waiver length.</li> <li>• Update scenarios table to account for Centralized Risk register.</li> </ul>