



STATE OF ALABAMA

OFFICE OF INFORMATION TECHNOLOGY



PROCEDURE 101P3: IT Policy Exemption Request Process

VERSION NUMBER	Procedure 101P3-01
VERSION DATE	April 3, 2018
PROCEDURE TITLE	IT Policy Exemption Request Process
GOVERNING POLICY	This procedure is governed by Policy 101: IT Governance, regardless of revision. This procedure is mandatory for agencies seeking exemption from a required statewide policy, standard, or procedure. This procedure is not applicable to exemptions from guidelines as agency compliance with guidelines is not mandatory.
OBJECTIVE	This procedure enables an agency to request exemption from implementation of any enterprise IT policy or standard required by the Office of Information Technology (OIT). This applies to all enterprise IT requirements issued by OIT, including the areas of General IT, IT Planning and Budgeting, IT Lifecycle Management, IT Project Management, IT Architecture, and Security & Privacy.
SUPPORTING DOCUMENTS	The following documents support this procedure: <ul style="list-style-type: none">• Policy 101: IT Governance• Form 101F1: IT Policy Exemption Request
EFFECTIVE DATE	This procedure shall be effective upon its approval by the Secretary of Information Technology, as evidenced by the signature of the Secretary being affixed hereto.
SUPERSEDES	This is the initial procedure and does not supersede a previous version.
PROCEDURE	An agency expecting or experiencing undue hardship in implementing an IT policy, standard, or procedure required by OIT may request exemption from implementation of the requirement.

The following procedures shall guide requests for exemptions from enterprise IT requirements.

1. Requirements Assessment

Agency completes an assessment of the requirements applicable to an information system, a project, or other information resource investment activity governed by statewide/enterprise policy, standard, or another requirement.

Agency documents all cases of non-compliance and determines requirements for which temporary exemption is deemed the best possible solution.

2. Requesting Exemption

An agency may request exemption from any enterprise IT requirement by completing Form 101F1: IT Policy Exemption Request. Form may be obtained from the OIT Governance Library [<http://oit.alabama.gov/governance-library/>]

The IT Policy Exemption Request shall be completed by the agency requesting exemption and shall include sufficient information required to evaluate the reason for the exemption request.

3. Form Submittal

The IT Policy Exemption Request may be submitted by email to: InfoOIT@oit.alabama.gov

Forms shall be routed to the State Chief Information Security Officer (CISO) for evaluation.

4. Exemption Determination

The State CISO may consult with any group or individual as needed to make initial determination whether to grant the exemption.

The State CISO shall notify the requester of exemption approval or denial by returning the exemption request form.

5. Appeal Process

The agency/requester may choose to appeal the decision of the State CISO.

Requests for appeal shall be routed to the Secretary of Information Technology for evaluation.

A final decision to approve or deny the agency's IT Policy Exemption Request shall be made by the Secretary of Information Technology. The Secretary of Information Technology shall transmit the decision in writing to a senior executive of the requesting agency or to the person who submitted the exemption request. The Secretary of Information Technology may also specify one or more conditions to be addressed by the agency prior to granting an exemption request.

6. Revocation and Re-evaluation

The Secretary of Information Technology may revoke an awarded exemption or change the terms of an exemption at any time by providing notice to a senior executive of the requesting agency.

An approved exemption will require re-evaluation when an agency experiences fundamental changes to circumstances that justified the exemption, such as, but not limited to the following:

- a. Changes to the business case justifications stated in the Request for Exemption,
- b. Changes to the security characterization of the data/system,
- c. Events which significantly increase the security risk or are indicative of a compromised security environment (including that of a third-party hosted solution), or
- d. Changes to the agency's statutory or regulatory environment.

If an agency anticipates bringing a third party hosted application into the enterprise operational environment, or the agency fails to otherwise comply with conditions specified by the Secretary of Information Technology for the exemption or fails to comply with the terms and conditions of this procedure, the agency shall begin an active program to migrate the application as required by applicable policy.

The undersigned, as Acting Secretary of Information Technology of the State of Alabama, exercising the power vested in that Office by the laws of this State, declares this procedure to be adopted as of the 4 day of April, 2018.



Jim Purcell
Acting Secretary of Information Technology

DOCUMENT CHANGE HISTORY

Version	Version Date	Comments
101P3-01	04/03/2018	Initial version