PURPOSE

This procedure provides instructions on requesting an exception from any enterprise (statewide) Information Technology (IT) policy or standard issued by the Office of Information Technology (OIT).

SCOPE

This procedure applies to all areas of IT including general governance, planning and budgeting, lifecycle management, project management, architecture, security, and privacy.

This procedure and associated documentation shall be reviewed and updated at least every three (3) years, or when State-defined events necessitate off-cycle assessment and updates.

SUPPORTING DOCUMENTS

The following documents support and/or are required for this procedure:

• IT Policy Exception Request Form (Attachment A)

PROCEDURE

An agency expecting or experiencing undue hardship in implementing an IT policy, standard, or procedure required by OIT may request a <u>temporary</u> exception from the implementation of requirements outlined in the policy.

The following information shall guide the completion and submittal of the IT Policy Exception Request Form:

1. **Requirements Assessment**

   Agencies requesting a policy exception must complete an assessment of the requirements applicable to an information system, project, or other information resource investment activity governed by statewide policy, standard, or another requirement.

   The assessment results must document all cases of non-compliance for which temporary exception is requested and provide any proposed solutions.

2. **Requesting Exception**

   An agency may request exception from any enterprise IT requirement by completing the form in Attachment A of this procedure. In the form the agency representative shall include sufficient information required to evaluate the request.

   The form may also be requested from OIT by sending an email to the following address with the subject line "Policy Exception Request Form" and stating in the body of the email the agency representative is only requesting the form.

3. **Form Submittal**

   The IT Policy Exception Request Form may be submitted by email to: exemption.request@oit.alabama.gov for evaluation by the State Chief Information Security Officer (CISO) or their designee.

4. **Exception Determination**

   The State CISO may consult with any group or individual as needed to decide whether to grant or deny the exception. OIT shall notify the requester of final decision on the request by returning a signed copy of the initial request form to the agency representative initiating the

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request.

5. **Appeal Process**

The agency/requester may choose to appeal the decision of OIT by returning the form with Section 8 completed with detailed information for why the appeal was requested.

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

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 exception request. The Secretary of Information Technology may also specify one or more conditions to be addressed by the agency prior to granting an exception request.

6. **Revocation and Re-evaluation**

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

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

a. Changes to the business case justifications stated in the Request for Exception,

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.

REQUEST PERIOD

All policy exceptions are temporary, and a compliance solution shall be provided with each request. If an agency is unable to comply with the requirements of the exception (as provided in the response) or will be unable to meet the policy requirements at the end of the exception period, the agency shall, within 30 days, submit a risk assessment and mitigation plan for OIT review. Evaluation of the risk assessment shall guide the exception decision and mitigation efforts.

PROCEDURE OWNER

Office of Information Technology (OIT)

MATERIAL SUPERSEDED

This current procedure supersedes all previous versions. All State agencies, and contractors/vendors of the State, are expected to comply with the current implemented version.

ATTACHMENT A – IT POLICY EXCEPTION FORM

A fillable copy of the IT Policy Exception Form can be found here. Once the form is completed it must be submitted to OIT using the address - exemption.request@oit.alabama.gov.

REVISION HISTORY

Revision Date	Summary of Change
02/27/2025	Need to generate a pdf copy of the procedure to be published on the OIT website.
12/05/2024	Updated Procedure and Form

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APPROVED BY

Signature	Daniel Urquhart
Approved by	Daniel Urquhart
Title	Secretary of Office of Information Technology (OIT)
Date Approved	01/15/2025

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