



## **OBJECTIVES**

- 1) Create and execute a process whereby agencies can request and receive reasonable policy exceptions while ensuring that the policy purpose is achieved.
- 2) Receive inventory information (standard information from each agency).
- 3) Ensure that the information is as comprehensive and accurate as possible, and can be collected, submitted, analyzed and reported on a sustainable (perhaps automated) basis.

## **ASSUMPTIONS**

- 1) The annual inventory creates a comprehensive view of the state's IT asset base for subsequent use in strategic and management decision-making.
- 2) Too many agency exceptions will result in an inventory that: does not have value as a decision support tool and fails to satisfy DAS and agency statutory obligations.
- 3) The exception process for the initial inventory should be less onerous / stringent than what will be required in the future when the inventory process matures.
- 4) The exception process should be reviewed and refined (as needed) prior to each annual inventory.

## **EXCEPTION PROCESS – DISCUSSION DRAFT**

- 1) The State Chief Information Officer (CIO) or their designee may grant an agency a written exception to the IT Asset Inventory and Management (ITAM) Policy.
- 2) Considerations to be weighed by the State CIO or their designee in evaluating an agency request for an exception to the ITAM Policy are (without limitation):
  - a) Integrity of the annual IT asset inventory
  - b) Agency business rationale for seeking exception
  - c) Cost or resource impact to inventory compared to the benefit gained
  - d) Other factors deemed relevant by the State CIO or their designee
- 3) Exception Process
  - a) Agency submits exception request to designated DAS EISPD recipient via e-mail
  - b) Agency e-mail exception request should include:
    - i) General description of the exception request;
    - ii) Rationale for the request; and
    - iii) Why the exception will not skew the quality of the inventory
  - c) DAS EISPD recipient replies with a receipt of the request. The reply will:
    - i) Indicate that the agency has submitted the needed information; or
    - ii) Indicate that more information is needed; and
    - iii) Include an expected timeframe for response to the request
  - d) DAS EISPD staff makes recommendation to State CIO or their designee.
  - e) Exception request is approved / denied.
    - i) If approved, the request will be logged as approved, reported as a footnote in the inventory, and an e-mail will be sent notifying the agency of the approval. (NOTE: This is expected to be the result for the vast majority of the requests on the initial inventory).
    - ii) If denied, the request will be logged as denied and the rationale for denial will be sent to the agency with a request for remediation within a specific period of time.