**Additional Guidance on Waiver Requests for the Enterprise Service: Enterprise Active Directory & Office 365 Tenancy**

[Policy 103](https://ocio.wa.gov/policies/policy-103-technology-policy-standards-waiver-request) contains a general description of the waiver process, including information about the information to include in a waiver request. The following information is provided to help ensure agencies provide important information for the enterprise service related requests.

As a reminder, waiver requests are submitted in memo form and must be signed by the CIO and the agency head. Waivers should be sent to the OCIO Policy & Waiver mailbox.

1. **The specific section(s) of the policy/standard for which a waiver is requested**

Assuming this is the only standard for which a waiver is being requested, the citation would be *185.10: the Enterprise Active Directory & Office 365 Tenancy*

1. **A description of the area of non-compliance**

The waiver request must specifically indicate the condition(s) for which a waiver is being requested.

* Request to establish a separate O365 tenant
* Request a waiver for an O365 tenant established prior to enterprise service designation
* Request to leave the Enterprise Active Directory/state forest
* Request a waiver for an agency not currently in the Enterprise Active Directory/state forest (This request type will require a compliance plan)
* Other (be specific)
1. **An explanation of the technical, business and other factors that prevent compliance:**

Include detailed information about the regulatory requirements (with authoritative citations) and other documentation that support the request.

This documentation must include, at a minimum:

* A list of the required controls the agency believes cannot be met by the enterprise service (i.e., shared tenant and/or Enterprise Active Directory),
* Documentation of the regulation(s) that requires the control, and
* Specifics about how the control is not met by the enterprise service.

Documentation should include the results of consultation with WaTech service areas around the required controls that the agency believes cannot be met.

Agencies should also include other information that is a factor in their request.

1. **A description of associated risks that could result from non-compliance and mitigations that have or will be implemented to address the risks**.

At a minimum, agencies should document an understanding of risks related to cost, complexity and loss of business function (see the list of likely impacts below).

If a waiver is granted for a separate tenant, the agency must acquire and implement an approved third party tool to support identity/access management and support synchronization with the Enterprise Active Directory.

All third party tools must have and pass a security design review.

Agencies must comply with the required architecture for separate tenants. WaTech may conduct design reviews to validate the agency architecture.

All additional costs associated with an approved waiver are the sole responsibility of the agency. Examples of added costs might include but are not limited to:

* The acquisition and administration of an approved third party identity management tool
* Additional security activities related to a waiver
* Additional network activities and costs
* Migration costs

The waiver should document an understanding of the limitations and trade-offs of a separate tenant if the waiver is granted and describe any mitigations planned. Limitations include the loss of full collaboration with other agencies. Examples of reduced collaboration capabilities include loss of ability to view other agency calendars and loss of single-sign for applications that are not claims-aware.

WaTech will support the enterprise service only. For example, agencies should not expect a central service offering related to a third party tool.

1. **Steps planned to become compliant and date by which compliance will be achieved**
* This information is needed when compliance is or could be a factor in the waiver request.

**Process and Timeline for decision making**

Following receipt of a waiver for this enterprise service area, the requesting agency will be asked to meet to discuss the details of the request and the agencies planned.

Policy 103 outlines targeted timelines for information requests and disposition of waiver requests.

The agency CIO has the opportunity to review the proposed waiver disposition memo before it is formally sent to the agency.