

Data Management Group Policy

Policy Waiver Process

Policy Identification Number: DMG-2012-001-IN

Policy Name: Policy Waiver Process

Date Approved: - June 28, 2018

Approval Authority: Data Management Group (DMG)

Statutory Reference: N/A

Policy Statement: Source systems shall have up to six months to conform to the newest version of published MFTS files, system upgrades or new system and conform to DPI standard file format and content. Any waiver request past the sixth month grace period will be presented to the Enterprise Data Manager (EDM).

Reason for Policy: To reduce the burden on data publishers and the NCDPI IT infrastructure, the DMG strives to limit the number of versions of files that are published at one time. After a new version of a file has been approved by the DMG and published by the data steward, each system shall have up to six months to conform to the newest version of published files. Exact length of time will be determined by the Enterprise Data Manager with input from the Data Management Group (DMG).

Policy Details and Related Documents:

Waivers required for continuing business processes, legislated or otherwise, that are impacted by change requirements shall follow the process below:

I. Governance Structure

- a. Enterprise Data Manager (EDM)
 - i. Initial point of contact for all waivers; initial level of decision making
 - ii. Authority to approve waivers for up to six months, return pending more info, suggest alternative, deny
 - iii. Refers to DMG for decision as needed
- b. Data Management Group (DMG)
 - i. Handles customer appeals
 - ii. Authority to approve waiver for up to six months, return pending more info, suggest alternative, deny
 - iii. DMG determines if temporary waiver is appropriate or permanent change is needed. Recommends permanent exemptions to Leadership as appropriate.
- c. Enterprise Data Team
 - i. Handles 2nd level Appeals
 - ii. Refers to Leadership as needed

II. Process for Seeking Waiver

- a. Customer submits Waiver Request to EDM
- b. EDM acts upon and responds to request (see above)
- c. Customer may appeal to DMG
- d. DMG votes and responds or refers to Leadership

III. **Enforcement**

- a. If temporary waiver is granted, timeline will be up to 6 months
- b. Customer has responsibility to request extension. Extensions beyond the initial waiver will be escalated to the NCDPI Leadership
- c. Extension Denial will be escalated to the NCDPI Leadership by the EDM

Related Documents: No documents currently relate to this policy.

Contacts: Questions related to this policy or exception to the policy should be directed to the Enterprise Data Manager at 919-807-3241.

Contacts: Enterprise Data and Reporting is the proponent for this policy. Questions related to this policy or exception to the policy should be directed to the Enterprise Data Manager at 919-807-3241.

Revision History:

Version #	Version Date	Source file	Description of Change	Author
2	June 28, 2018		Adding time limit to source system upgrades	Karl Pond/DMG

All sensitive mail attachments shall be sent either password-protected or via encrypted transmissions.