

College procedure regarding applying for an Information Technology (IT) Policy Exemption

All departments, units and users at Indiana University are required to follow University Policies that govern how IT resources at the university are managed. Compliance affects use and management of IT resources. In some cases, compliance may interfere with ease of use or functionality to an extent that an exemption is warranted. This procedure governs how IT Policy exemptions are documented, evaluated, and approved.

Prior to starting the process of applying for an IT policy exemption, users and their IT Professionals (henceforth, the ITPro) should make every effort to find a satisfactory policy compliant solution in a timely manner. This includes involving the broader ITPro community to explore options that may not be apparent in-house. If no satisfactory solution is found through this process, the user may request an IT policy exemption in accordance with the following procedure.

1. The ITPro shall collect and document the need for an exemption to policy, which is to include the user's main purpose or rationale for adopting the practice that requires an exemption together with details on all efforts undertaken to find a solution that does not require an exemption.
2. The ITPro shall seek the approval of the Department Chair or Unit Director (henceforth Chair) for the Exemption Application on the user's behalf.
 - 2.1. The Chair may decline to give approval and may charge the ITPro and the user to find or adopt a solution that does not require a policy exemption.
 - 2.2. If the Chair declines to give approval, the user may request that the exemption application be moved forward without the Chair's approval.
3. The ITPro shall submit the application documentation to the Chief Technical Officer (CTO) of the College on the user's behalf.
4. The CTO will acknowledge receipt as soon as feasible after receiving the application and will study the needs motivating the application, ideally within a couple of weeks.
 - 4.1. As part of the analysis, the ITPro, the user and the CTO will make every effort to continue to find a solution that is satisfactory both in terms of usability and policy compliance.
 - 4.2. Should no satisfactory solution be found, the user may request that the exemption application move forward. The CTO will append additional documentation to the application package, including a recommendation to the Faculty IT Advisory Council.
5. Once the exemption application is complete, the CTO conveys the request as soon as practical to the Faculty IT Advisory Council for review. The Council will, ideally, deliberate on the application within two weeks and vote to approve or disapprove the exemption. All Faculty IT Advisory Council members, with the exception of the Chair, will cast their votes. If this results in a tie vote, the IT Advisory Council Chair will vote to break the tie.
 - 5.1. With a majority "yes" vote: the council shall amend the application with comments and recommendation as appropriate and the CTO shall forward the application to the Executive Dean or an appointed delegate for review.

- 5.2. With a majority “no” vote: the council shall amend the application with comments and recommendation as appropriate and the CTO shall work with the ITPro and the user to implement a policy compliant solution.
 - 5.2.1. The user may request that the exemption application forwarded to the Executive Dean or appointed delegate without the agreement of the Faculty IT Advisory Council and the CTO shall forward the application for review.
6. The Executive Dean or the appointed delegate will review and approve or disapprove the exemption.
 - 6.1. Any requirements to confer or receive approval for the exemption from any unit outside the College, such as the Office of the Vice President for Information Technology, shall be part of the application documentation.
 - 6.2. The Executive Dean or the appointed delegate may decline to approve the policy exemption and may charge the CTO, ITPro and the user to find or adopt a policy compliant solution.
 - 6.3. Once the Executive Dean or appointed delegate has made a ruling on the policy exemption, the CTO shall notify the Faculty IT Advisory Council, the Department Chair, the user and the ITPro.
7. Approved exemptions must adhere to the following requirements:
 - 7.1. Every Exemption will have an expiration date that will require a renewal.
 - 7.2. The CTO or an appointed delegate shall add the exemption to the College database of exemptions.
 - 7.3. The ITPro is responsible for ensuring that, when needed, the renewal process is undertaken in such a manner that the policy exemption approval does not lapse.
 - 7.4. The exemption database shall be reviewed regularly and all lapsed exemptions shall be verified by the CTO (or an appointed delegate as no longer being applicable, with the related equipment or workflows being policy compliant.
 - 7.5. The ITPro is responsible for notifying the CTO if a user holding an exemption leaves the College to allow the exemption database to be updated.

Approved by the Faculty IT Advisory Council on May, 2, 2019.