



# Information Technology Exception Policy

TU Dublin Policy on IT Exceptions

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## 1. Document Control Summary

Area	Document Information
Author	Information Security Governance, Risk & Compliance Senior Manager
Owner	Chief Information Officer
UET Sponsor	Chief Operations Officer
Reference number	TSITEP2024
Version	1.1
Status	Approved
Pre-approval Body/ Bodies	UET, ARC
Approved by	Governing Body
Approval date	26 <sup>th</sup> June 2024
Next review date	26 <sup>th</sup> June 2027
Document Classification	TU Dublin Public

## 2. Introduction / Context

IT exception policies are a crucial component of an organisation's IT governance framework. They outline the circumstances under which exceptions to established IT policies and standards may be granted, enabling the organisation to respond to emerging needs, leverage new technologies, and accommodate specific business requirements. This policy ensures risk management, operational efficiency, compliance, and clarity in decision-making, while promoting continuous improvement and accountability.

## 3. Purpose

This policy outlines the process and criteria for evaluating and granting exceptions to established policies, standards, procedures, or guidelines within Technological University Dublin (hereafter referred to as "TU Dublin" or "the University").

This **IT Exception Policy** aligns with the following framework and controls:

National Institute of Standards and Technology Cybersecurity Framework 2.0

- Risk Assessment (ID.RA)
  - ID.RA-07

## 4. Scope

This policy applies but is not limited to the following TU Dublin related groups:

- TU Dublin staff
- TU Dublin students
- TU Dublin third parties

### 4.1 Roles and Responsibilities

The following roles and responsibilities apply in relation to this Policy:

**Governing Body:**

- To review and approve the policy on a periodic basis.

**TU Dublin Executive and Management Teams:**

- To review and approve the policy on a periodic basis.

**TU Dublin Chief Operations Officer:**

- To ensure the policy is reviewed and approved by the Executive and Management Teams.

**TU Dublin Chief Information Officer:**

- To review and respond to exception requests.
- To assign a member of Technology Services to review and respond to the exception requests as their designee if required.

**Technology Services Management:**

- To define and ensure implementation of standards and procedures which enforce this policy.

- To oversee, in conjunction with data owners, compliance with the policy and supporting standards and procedures.
- To enforce compliance with this policy where technically possible on TU Dublin systems.

**Staff/Students/Third Parties:**

- To adhere to policy statements in this document.
- To report suspected breaches of policy to the TU Dublin [IT Service Desk](#).

If you have any queries on the contents of this policy, please contact the [IT Service Desk](#).

## 5. Definitions

**Users:** Users are defined as TU Dublin employees, including permanent and temporary staff, students, contractors, sub-contractors, and affiliates with access to TU Dublin IT Resources.

**Third Parties:** Third Parties are defined as any individual consultant, contractor, subcontractor, vendor, agent, or any other person not registered as a TU Dublin employee, or student but who will require access to specific elements of the IT infrastructure, and/or data stored on that infrastructure.

**Exception:** An exception refers to a deviation from established IT policies, standards, procedures, or guidelines within the University. It signifies a situation where a specific circumstance or need requires an alternative approach or departure from the usual rules or guidelines.

## 6. Policy Details

### 6.1 Policy Overview

This policy sets out the rules and guidelines to ensure that users and third parties understand their responsibilities when seeking an IT exception. Exceptions are evaluated on a case-by-case basis and may be granted based on factors such as unique business requirements, emerging technologies, risk management considerations, or other justifiable reasons.

### 6.2 Policy Details

An exception may be granted by the Chief Information Officer (CIO) of TU Dublin or their designee, for non-compliance with a policy or standard resulting from:

- Implementation of a solution with equivalent protection to the requirements in the policy or standard.
- Implementation of a solution with superior protection to the requirements in the policy or standard.
- Impending retirement of a system.
- Inability to implement the policy or standard due to some limitation (i.e., technical constraint, business limitation or statutory requirement).

Exceptions are reviewed on a case-by-case basis and their approval is not automatic. Exceptions that are granted will be for a specific period of time, not to exceed 12 months. Upon expiration of the exception, an extension of the exception may be requested, if it is still required.

The exception request must be submitted in an online [IT Exception Service Request](#) and must include:

- A description of the non-compliance and a reason for requesting the exception.
- The length of time the exception is required for. (up to 12 months).
- The risks that may be associated with non-compliance.
- Proposed measures for managing the risks associated while non-compliant.
- Proposed actions for a permanent solution for non-compliance.
- The IT Exception Service Request must be approved by the following:
  - Requester
  - Line Manager\Supervisor (if applicable)

If the Requester is not the Information or Business Owner, they must seek written approval from the Information or Business Owner before submitting an IT Exception Request.

If the non-compliance with an IT policy or standard is due to a superior solution, an exception is still required and will normally be granted until the published policy or standard can be revised to include the new solution.

Upon submission of the IT Exception Service Request, the requester and line manager\supervisor (if applicable) will be notified to confirm receipt of the request.

Once the exception request has been reviewed by Technology Services the requester will be notified of the decision in writing.

In the event that the exception is denied, the requester may seek a meeting with Technology Services to discuss the circumstances of the rejection.

## 6.3 Violation of Policy

Contravention of the policy may lead to the removal of access to TU Dublin resources and may lead to disciplinary action in accordance with the [TU Dublin Staff Disciplinary Procedures](#) or Student Disciplinary Procedures.

## 6.4 Change Process

This policy will be reviewed every three years or after any change to TU Dublin applications, IT environment or business processes that would affect the implementation of this policy.

## 7. Related Documents

This policy should be read in conjunction with the following University policies and users and third parties should ensure compliance with all University policies in addition to this policy.

- [TU Dublin Information Security Policy](#)
- [TU Dublin Acceptable Usage Policy](#)
- [TU Dublin Password Policy](#)
- [TU Dublin Data Protection Policy](#)
- [TU Dublin Remote Access Policy](#)
- [TU Dublin Cloud Services Policy](#)

The above list is not exhaustive and other [TU Dublin documents](#) may also be relevant.

For further information on IT related queries please contact the [IT Service Desk](#).

## 8. Conclusions

This IT exception policy establishes a standardised manner for evaluating and managing the risks associated with deviating from established IT standards. Exceptions undergo thorough scrutiny, assessing the potential impact on security, compliance, data integrity, and other critical factors. By subjecting exceptions to rigorous review and approval, the University can make informed decisions, implement necessary controls, and minimize the risks associated with deviating from standard IT practices.

## 9. Appendix

### 10. Document Management

#### 10.1 Version Control

VERSION NUMBER	VERSION DESCRIPTION / CHANGES MADE	AUTHOR	DATE
<i>Draft 0.1</i>	<i>Initial Draft</i>	<i>ISGR</i>	<i>11<sup>th</sup> July 2023</i>
<i>Draft 0.2</i>	<i>Draft / Document to be reviewed</i>	<i>TSMT</i>	<i>12<sup>th</sup> February 2024</i>
<i>Draft 0.3</i>	<i>Draft reviewed by UET</i>	<i>ISGR</i>	<i>10<sup>th</sup> April 2024</i>
<i>Ver 1.1</i>	<i>Updated Purpose Section</i>	<i>ISGR</i>	<i>15<sup>th</sup> January 2025</i>

#### 10.2 Document Approval

VERSION NUMBER	APPROVAL DATE	APPROVED BY (NAME AND ROLE)
<i>Draft 0.2</i>	<i>12<sup>th</sup> February 2024</i>	<i>TSMT</i>
<i>Draft 0.3</i>	<i>10<sup>th</sup> April 2024</i>	<i>UET</i>
<i>Draft 0.3</i>	<i>28<sup>th</sup> May 2024</i>	<i>ARC</i>
<i>Version 1.0</i>	<i>26<sup>th</sup> June 2024</i>	<i>GB</i>

#### 10.3 Document Ownership

Accountability for defining, developing, monitoring, and updating the contents of this document rests with the Office of the Chief Operations Officer.

#### 10.4 Document Review

The Chief Operations Officer is accountable for reviewing this document in consultation with relevant stakeholders. This document should be approved by the Chief Operations Officer, the University Executive Team, and Governing Body.

#### 10.5 Document Storage

This document will be stored on the TU Dublin content management systems under the Policies and Forms media folder / Technology Services sub-folder. The file will be called: "TU-Dublin-IT-Exception-Policy-TSITEP2024\_v1.1.pdf" once released.

#### 10.6 Document Classification

This document is classified as TU Dublin Public and is available to all.