



STATE OF ALABAMA

OFFICE OF INFORMATION TECHNOLOGY



FORM-IT Policy Exemption Request

An agency may request an exemption to enterprise IT policies when undue hardship in implementing a requirement is expected or experienced. An approval may be subsequently renewed at the discretion of the Secretary of Information Technology.

If additional space is required for any response, supplemental sheets may be attached. This form does not determine the feasibility of operational implementation of enterprise IT policies. Workflow, routing, instructions, and procedures are outlined on the last page of this form.

Completed forms shall be retained by the requesting agency and OIT for a period of one year following the exemption expiration (or denial) date.

Section 1: Requester	
1a. Agency:	
1b. Requester Name:	
1c. Phone:	
1d. Email:	
Section 2: Exemption Information	
2a. Number or title of policy or standard for which exemption is requested:	
2b. Specific requirement (if applicable) for which exemption is requested:	
2c. Check requested exemption period:	<input type="checkbox"/> 6 MONTH <input type="checkbox"/> 1 YEAR
2d. Will the requirement be implemented within the requested exemption period? Please check Yes or No and explain below.	<input type="checkbox"/> YES <input type="checkbox"/> NO
Explanation:	
2e. If response to 2d. is Yes, who is the Business Owner or Sponsor?	<input type="checkbox"/> NOT APPLICABLE
Name:	
Phone:	Email:

Section 3: Justification

3a. Describe any business, legal, or operational constraints:

3b. Describe any technical constraints:

3c. Describe the cost impact to the Agency if required to comply with the stated requirement:

Cost Factors	Year 1	Year 2	Year 3	Totals
Totals:				

Section 4: Risk Identification - Must be completed by the Senior Agency Information Security Officer or designee.

4a. Contact information for the Senior Agency Information Security Officer

Name:

Phone:

Email:

4b. Security Impact Category of the data or system(s) to which this exemption applies:

HIGH MODERATE LOW

4c. Describe all risks created by or associated with this exemption:

4d. Describe any compensating controls which will be implemented to mitigate each risk that implementing this requirement would have addressed:

4e. Identify any residual or remaining risk:

Section 5: Alternatives

5a. Describe potential alternatives and yearly implementation cost:

Alternative 1:

Cost Factors	Year 1	Year 2	Year 3	Totals
Totals:				

Alternative 2:

Cost Factors	Year 1	Year 2	Year 3	Totals
Totals:				

5b. If no alternatives were investigated, please explain:

Section 6: Attestation - Must be completed by the Agency Head or designated approving authority.

I, on behalf of the Agency, make this exemption request having evaluated the business and technical issues represented fully herein and with full understanding and acceptance of all risks and liabilities associated with this agreement and hereby agree that OIT, when otherwise acting in compliance with their duties under this agreement, shall bear no liability for any risk resulting therefrom.

Printed Name of Agency Head

Signature

Date

Approval/Appeal. To be completed by the designated office or individual.

Section 7: Exemption Determination - (OIT Use Only)	
7a. EXEMPTION: <input type="checkbox"/> APPROVED <input type="checkbox"/> DENIED	
7b. Exemption Expires:	
7c. Comments:	
Name: Title:	Date:

Section 8: Agency Request for Appeal	
8a. REQUEST APPEAL: <input type="checkbox"/>	
8b. Comments:	
Name: Title:	Date:

Section 9: Appeal Decision - (OIT Use Only)	
9a. APPEAL: <input type="checkbox"/> APPROVED <input type="checkbox"/> DENIED	
9b. Exemption Expires:	
9c. Comments:	
<i>Secretary of Information Technology</i>	Date:

Instructions. Steps to be completed by the agency.

1. Requirements Assessment: Agency completes an assessment of the requirements applicable to each IT system, IT resource, or project governed by enterprise IT policies. Agency identifies all cases of non-compliance and uses reasonable means to determine that a temporary exemption is the best possible solution.

2. Request: Agency requests an exemption from any enterprise IT requirement by completing and submitting this form on preceding pages above. The latest version of the form may be obtained from the OIT Governance Library [<http://oit.alabama.gov/governance-library/>]. The request will be completed by the agency requesting exemption and include sufficient information required to evaluate the reason for the exemption request. The request is submitted by email to Service.Desk@oit.alabama.gov.

3. Determination: OIT may consult with any group or individual as needed to make an initial determination on granting the exemption. OIT shall notify a senior executive or the requester of exemption approval or denial by returning via email the exemption request form. OIT may specify one or more conditions for the agency to address or follow.

4. Appeal: Agency may appeal the OIT determination by completing the appeal section of the returned form and emailing Service.Desk@oit.alabama.gov. The appeal will be routed to the Secretary of Information Technology for a final evaluation and decision. OIT will communicate the decision to a senior executive or the requester. OIT may specify one or more conditions for the agency to address or follow.

5. Revocation and Re-evaluation: The Secretary of Information Technology may revoke an approved exemption or change the terms of an exemption at any time by providing notice to the agency senior executive or the requester. An approved exemption will require re-evaluation when an agency experiences fundamental changes to circumstances that justified the exemption. Agency agrees to immediately notify OIT at Service.Desk@oit.alabama.gov of fundamental changes, such as, but not limited to the following changes/events:

- a. Business case justifications stated in the Request for Exemption,
- b. Security characterization of the data/system,
- c. Increased security risk or indications of a compromised security environment (including that of a third-party hosted solution), or
- d. Agency's statutory or regulatory environment.

By accepting an exemption approval, the agency agrees that a failure to comply with any condition specified by OIT will result in an immediate revocation.