1. AUTHORITY
   1.1 Article VI, Section 7a, City Charter of the City of Houston.

2. PURPOSE
   2.1 To create an avenue to formally give departments exception to technology policies where
       the need exists and is justifiable.

3. OBJECTIVE
   3.1 This document establishes policy and standards for managing exceptions to the
       Information Technology (IT) policies.

4. SCOPE
   4.1 This policy applies to all City employees, contract associates and anyone accessing or
       utilizing any City IT asset.

5. DEFINITIONS
   City IT Asset - Any City owned data, information, system, hardware, network, application,
   software, telephone or other device capable of storing, transmitting or receiving data owned by or
   operated on behalf of the City.

6. POLICY
   6.1 Exceptions to information technology Administrative Procedures must be requested by an
       Information Technology Department (ITD) Assistant Director or a departmental Chief
       Technology Officer (CTO) and approved using Attachment A – City of Houston IT Policy
       Exception Request.

   6.2 Exceptions must not exceed twelve months in duration before the request must be
       reevaluated. All denied requests can be appealed to the Chief Information Officer (CIO).

   6.3 Once the ITD receives an exception request form, a decision must be communicated to
       the requestor within 15 days.
7. COMPLIANCE

7.1 Failure to adhere to all requirements stipulated in this policy and all related documents may result in disciplinary actions, up to and including:

7.1.1 Immediate removal of any applicable hardware/software/access to the City Network or systems;

7.1.2 Formally reporting the incident to the Human Resources Department and the CIO;

7.1.3 Indefinite suspension or termination of employment; and/or

7.1.4 Any other action deemed necessary by senior management.

8. ATTACHMENTS

8.1 Attachment A – City of Houston IT Policy Exception Request

8.2 Attachment B – Managing IT Policy Exceptions Process
Attachment A
City of Houston IT Policy Exception Request
City of Houston IT Policy Exception Request

Instructions
To submit a request for an exception, each of the following steps must be completed. All fields must be filled out by the requestor before attaching and submitting this form via e-mail or the form will be returned for completion.

Requests related to site or office work stoppages: Indicate that this is a work stoppage in the subject line of the e-mail request. This identifies the request as urgent and allows IT Compliance and Business Continuity to expedite the request. A work stoppage is the inability of multiple users and/or sites to conduct normal business activities.

Notes:
• If the reason for the policy exception request is a denied change request, you must include a link to the change request ticket when submitting the request for exception.
• Firewall exceptions WILL NOT be considered unless the denied change request number accompanies the exception request.

☐ Requestor: (Individual initiating the request)
1. Complete the form and save it.
2. Create a new e-mail, attach the completed form, and forward to your Information Technology Department (ITD) Assistant Director or your departmental Chief Technology Officer (CTO) for approval.
   Note: If you resend a request because it was initially declined by your manager please start a new e-mail. Failure to do so may delay processing of your request.

☐ ITD Assistant Director or departmental CTO:
1. Review the details of the request for exception to policy
2. If approved, forward the e-mail with your approval and attachment to the IT-Compliance & Business Continuity distribution list (DL) and copy the Requestor.
3. If declined, reply to the Requestor.
   NOTE: When forwarding your approval, be sure to forward the e-mail with your approval statement in the body of the e-mail. If your approval statement is missing, the request will be delayed.

IMPORTANT:
• The Requestor is responsible for making sure the form is completed, forwarded, approved, and submitted as instructed.
• Policy exceptions will NOT be renewed automatically.
• To renew a policy exception, the Requestor must submit a new exception request before the original granted policy exception expires.
   NOTE: It is the Requestor’s responsibility to take into consideration the exception approval window noted in the Managing Exceptions Policy.
City of Houston IT Policy Exception Request, continued…

<table>
<thead>
<tr>
<th>REQUESTOR INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requestor Printed Name:</td>
</tr>
<tr>
<td>Requestor Signature:</td>
</tr>
<tr>
<td>Title:</td>
</tr>
<tr>
<td>Department:</td>
</tr>
<tr>
<td>Address:</td>
</tr>
<tr>
<td>Division:</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>EXCEPTION INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Change Request # (if applicable):</td>
</tr>
<tr>
<td>Firewall Modification Request # (if applicable):</td>
</tr>
<tr>
<td>Policy(ies) affected (mandatory field):</td>
</tr>
<tr>
<td>Application Name (if applicable):</td>
</tr>
<tr>
<td>Exception(s) requested:</td>
</tr>
</tbody>
</table>

**Note:** If exception is for an operating system, list the operating system and version installed along with the computer’s domain.

**Reason for exception(s):**

**Impact if the exception is denied (customer, hardware, software, etc.):**

**Remediation plan:**

**Project remediation date:**

At least one of the following categories must be selected before the exception can be processed. Select all that apply:

- [ ] Application Design
- [ ] Operating System
- [ ] Infrastructure Hardware
- [ ] Security
APPROVAL INFORMATION

Name of ITD Assistant Director or departmental CTO approving exception:

Type Name:

I certify I have the proper authority to approve this request. I understand that approvals granted by unauthorized personnel may result in disciplinary actions up to and including termination.

**ITD Assistant Director or departmental CTO:** With this completed form attached, forward an e-mail with approval statements in the e-mail body to the IT- Compliance & Business Continuity DL.

CIO APPROVAL INFORMATION

If approved, the exception will expire: Click here to enter a date.

*Note: Exceptions can only be extended up to 12 months

Name CIO approving exception:

Type Name:

I certify I have the proper authority to approve this request. I understand that approvals granted by unauthorized personnel may result in disciplinary actions up to and including termination.

**CIO:** With this completed form attached, forward an e-mail with approval statements in the e-mail body to the IT- Compliance & Business Continuity DL.

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Use only in approved

<table>
<thead>
<tr>
<th>CITY OF HOUSTON IT COMPLIANCE AND BUSINESS CONTINUITY ONLY</th>
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<tbody>
<tr>
<td>Date Received: Click here to enter a date.</td>
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<tr>
<td>Date Approved: Click here to enter a date.</td>
</tr>
<tr>
<td>Approved By:</td>
</tr>
<tr>
<td>Expiration Date: Click here to enter a date.</td>
</tr>
<tr>
<td>Date to Review: Click here to enter a date.</td>
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<tr>
<td>Processed By:</td>
</tr>
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</table>

Use only if denied

<table>
<thead>
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<td>Date Received: Click here to enter a date.</td>
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<tr>
<td>Date Denied: Click here to enter a date.</td>
</tr>
<tr>
<td>Denied By:</td>
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<tr>
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</table>
Attachment B
Managing IT Policy Exceptions Process
Managing IT Policy Exceptions Process

Mandatory Compliance Process

<table>
<thead>
<tr>
<th>Document No.</th>
<th>First Effective</th>
<th>Last Review</th>
<th>Revision Date</th>
<th>Revision No.</th>
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<tr>
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<td>00/00/0000</td>
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**Purpose**
This document describes the process for managing exceptions to information technology (IT) policies at the City of Houston (CoH).

**Applies To**
All CoH associates are responsible for following this process when requesting an exception to any approved CoH IT policy.

**Triggers**
Events that may initiate the managing exceptions to IT policies process at the CoH include, but are not limited to, the following:
- An exception to any CoH IT policy is requested

**Contents**
- Exception Request (Non-Firewall) Flowchart ................................................................. 2
- Process Information ............................................................................................................ 3
- Compliance Information .................................................................................................... 4

**Glossary**
Refer to the Glossary for definitions and descriptions of these acronyms:
- CIO
- CoH
- CTO
- IT
- ITD
# Managing IT Policy Exceptions Process

## Process Information

| **Work Stoppage Policy Exception Request** | Upon receipt of a work stoppage policy exception request all efforts to contact the approvers will be made by IT Compliance and Business Continuity including:  

- **Urgent – Work Stoppage, Respond Immediately** will be entered in the subject line of the e-mail sent to approvers.  

- When necessary, contact approvers at  
  - Office number, leaving a message if no answer  
  - Cell phone number, leaving a message if no answer  

IT Compliance and Business Continuity will update the requestor via phone or e-mail at least once an hour until the request is approved or denied. |
| **Definition** | **Work Stoppage** – The inability of multiple users and/or sites to conduct normal business activities, resulting in substantial impact to operations. |
| **Escalation Deadline** | After receiving a denial of a policy exception, a requestor has 5 business days to request an escalation. |
| **Renewals** | IT Compliance and Business Continuity monitors the expiration dates of all policy exceptions and initiates renewals on behalf of the original requestor. |
Managing IT Policy Exceptions Process

Compliance Information

Document Approval
This document must be approved by the CoH IT Compliance and Business Continuity.

Subject Matter Experts
This document must be reviewed and approved by subject matter experts (SMEs) from these departments:

- CoH IT Compliance and Business Continuity
- Chief Information Officer (CIO)

Approvals/Control Points
These Tables list the approvals and control points for the Managing IT Policy Exceptions Process.

<table>
<thead>
<tr>
<th>Control Element</th>
<th>Approval</th>
<th>Audit Trail</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enter details of exception request into compliance list on SharePoint</td>
<td>IT Compliance</td>
<td>Compliance list</td>
<td>SharePoint</td>
</tr>
<tr>
<td>Save approved CoH IT Policy Exception Request Form to SharePoint</td>
<td>IT Compliance</td>
<td>CoH IT Policy Exception Request Form</td>
<td>SharePoint</td>
</tr>
<tr>
<td>Update CoH IT Policy Exception Request Form with approval and compliance list with expiration date</td>
<td>IT Compliance</td>
<td>CoH IT Policy Exception Request Form</td>
<td>SharePoint</td>
</tr>
<tr>
<td>Update CoH IT Policy Exception Request Form with denial and compliance list</td>
<td>IT Compliance</td>
<td>CoH IT Policy Exception Request Form</td>
<td>SharePoint</td>
</tr>
</tbody>
</table>

Related Policies
Policies related to this process include
- Managing IT Policy Exceptions Policy

Related Processes
N/A

Related Forms
These related forms are located at IT Policies, Processes, Forms and Documents on SharePoint:
- City of Houston IT Policy Exception Request Form