



CITY OF HOUSTON

Administrative Procedure

Subject: **Managing IT Policy Exceptions Policy**

A.P. No:

8-3

Effective Date:

March 9, 2012

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.

Approved:

Date Approved:

03/09/2012

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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

Document No.	First Effective	Last Review	Revised	Revision No.
FRM-00001	00/00/0000	00/00/0000	00/00/0000	1.0

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.

Date of Request	Click here to enter a date.	Request Type	New <input type="checkbox"/>	Renewal <input type="checkbox"/>
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City of Houston IT Policy Exception Request, *continued...*

REQUESTOR INFORMATION	
Requestor Printed Name:	
Requestor Signature:	
Title:	
Department:	
Address:	
Division:	

EXCEPTION INFORMATION	
Change Request # (if applicable):	
Firewall Modification Request # (if applicable):	
Policy(ies) affected (mandatory field):	
Application Name (if applicable):	
Exception(s) requested:	
<p>Note: If exception is for an operating system, list the operating system and version installed along with the computer's domain.</p>	
Reason for exception(s):	
Impact if the exception is denied (customer, hardware, software, etc.)	
Remediation plan:	
Project remediation date:	
<p>At least one of the following categories must be selected before the exception can be processed. Select all that apply:</p>	
<input type="checkbox"/> Application Design <input type="checkbox"/> Infrastructure Hardware	<input type="checkbox"/> Operating System <input type="checkbox"/> Security



City of Houston IT Policy Exception Request, *continued...*

APPROVAL INFORMATION
Name of ITD Assistant Director or departmental CTO approving exception:
<i>Type Name:</i>
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:
<i>Type Name:</i>
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**.

Use only in approved

CITY OF HOUSTON IT COMPLIANCE AND BUSINESS CONTINUITY ONLY	
Date Received:	Click here to enter a date.
Date Approved:	Click here to enter a date.
Approved By:	
Expiration Date:	Click here to enter a date.
Date to Review:	Click here to enter a date.
Processed By:	

Use only if denied

CITY OF HOUSTON IT COMPLIANCE AND BUSINESS CONTINUITY ONLY	
Date Received:	Click here to enter a date.
Date Denied:	Click here to enter a date.
Denied By:	
Processed By:	

Attachment B
Managing IT Policy Exceptions Process



Managing IT Policy Exceptions Process

Mandatory Compliance Process				
Document No.	First Effective	Last Review	Revision Date	Revision No.
PRO-00001	00/00/0000	00/00/0000	00/00/0000	1.0

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:

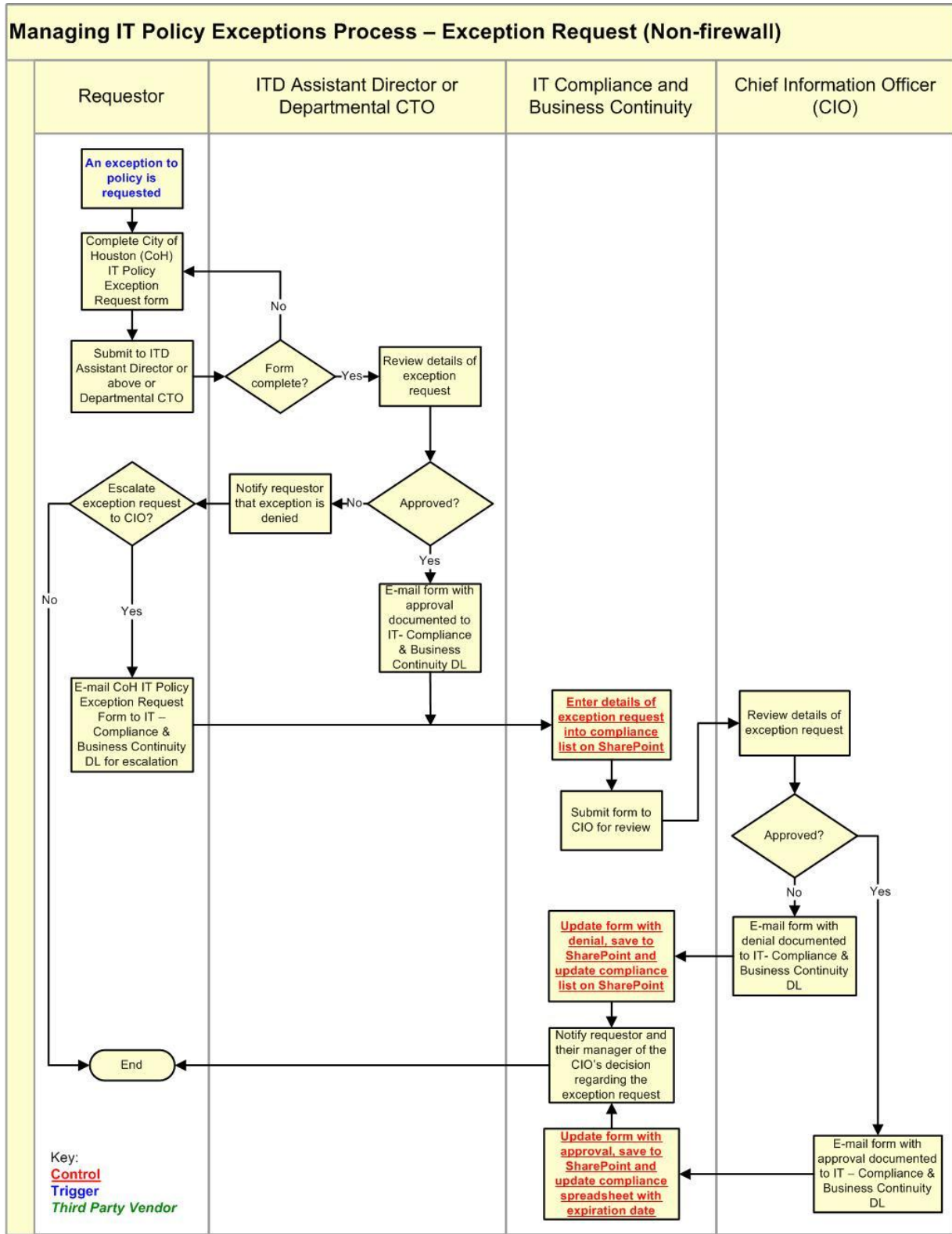
- An exception to any CoH IT policy is requested

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Glossary Refer to the Glossary for definitions and descriptions of these acronyms:

- CIO
- CTO
- ITD
- CoH
- IT





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

Control Element	Approval	Audit Trail	Location
Enter details of exception request into compliance list on SharePoint	IT Compliance	Compliance list	SharePoint
Save approved CoH IT Policy Exception Request Form to SharePoint	IT Compliance	CoH IT Policy Exception Request Form	SharePoint
Update CoH IT Policy Exception Request Form with approval and compliance list with expiration date	IT Compliance	CoH IT Policy Exception Request Form	SharePoint
Update CoH IT Policy Exception Request Form with denial and compliance list	IT Compliance	CoH IT Policy Exception Request Form	SharePoint

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