



Information Security Office

The University of Texas at El Paso

Information Security Office Security Exception Reporting Process

Contents

Purpose 3
Scope..... 3
General..... 3
Roles and Responsibilities..... 3
Revision History 4
Approvals 4

Purpose

This Security Exception Reporting Process¹ serves as a supplement to [The University of Texas at El Paso Information Resources Use and Security Policy](#), and the implementation of [UTS165 Information Resources Use and Security Policy](#). Adherence to the process will increase the security of systems and help safeguard university information technology resources.

It is the intent of the Information Security Office (ISO) that all **owners** and custodians of Information Resources adopt University Information Resources Use and Security policies and procedures. However, there will be situations where the strict application of a policy would significantly impair the functionality of a service and the policy or procedure must be modified to accommodate specific requirements. This process provides a method for documenting an exception to compliance with a published university security policy or procedure.

Scope

This process applies to all published University Information Resources Use and Security Standards and Procedures. This process does not apply to specific department standards or procedures.

General

An exception to a published policy or procedure may be granted in any of the following situations:

- Temporary exception, where immediate compliance would disrupt critical operations;
- Another acceptable solution with equivalent protection is available;
- A superior solution is available. An exception will be granted until the solution can be reviewed; and standards or procedures can be updated to allow for the better solution;
- A legacy system is being retired (utilize a process to manage risk);
- Lack of resources.

Roles and Responsibilities

The UTEP Chief Information Security Officer (CISO) must approve all exceptions to University policy. The Information Security Office is available for assistance at all stages of this process. The Exception Request must be submitted by the Information Resource owner and/or custodian to the Information Security Office using the [Security Exception Request Form](#).

The Security Exception Request must include:

- Description of the non-compliance;
- Anticipated length of non-compliance;
- Assessment of risk associated with non-compliance;
- System(s) associated (e.g., host names or IP addresses, etc.);

¹ Adapted from the "Security Exception Request" (https://ut.service-now.com/utss/catalogoverview.do?sysparam_citems_id=4ad65c7c4ff9d200f6897bcd0210c782&sysparam_cat_id=e0d08b13c3330100c8b837659bba8fb4%2CInformation%20Technology&sysparam_sys_id=%3Csubcategory.parent%3E%2CTechnology%20Infrastructure%20&%20Management&sys_click_name=features), with permission from ITS, The University of Texas at Austin, Austin, Texas 78712-1110

- Data Classification Category(s) of associated system(s);
- Plan for alternate means of risk management;
- Metrics to evaluate success of risk management (if risk is significant);
- Review date to evaluate progress toward compliance ;

The Chief Information Security Officer may report exceptions to University Information Security Policies to University Compliance Officials, as described in [The University of Texas at El Paso Information Resources Use and Security Policy](#).

Revision History

Version	Date	Author	Description of Change
1.0	12/20/2010	ISO	Converted document to PDF and posted online
1.1	12/21/2015	ISO	Updated document to reflect CISO approval of Exceptions as opposed to IT owner. Updated links to point to most current ISO Policy and Standards documents.
1.2	4/7/2016	ISO	Uploaded latest document in PDF to ISO website
1.3	4/20/2017	ISO	Spelling correction made to Security Exception Request Form, clarification to add “device/ information resource”, and link updates as needed.

Approvals

Name	Title	Role	Date
Gerard D Cochrane Jr	Chief Information Security Officer	Approval	12/20/2010
Gerard D Cochrane Jr	Chief Information Security Officer	Approval	12/21/2015
Gerard D Cochrane Jr	Chief Information Security Officer	Approval	4/20/2017