Prohibited Technologies Exception Guide

March 20, 2023

Exception Request

Per the Statewide Security Plan for Prohibited Technology, the head of a state agency may grant an exception for the limited use of prohibited technologies. The plan requires agencies to report exceptions to the Texas Department of Information Resources (DIR).

This guide provides instructions for agencies to report Prohibited Technology exceptions to DIR through the Exception Request application on the Statewide Portal for Enterprise Cybersecurity Threat, Risk, and Incident Management **(SPECTRIM)**. Through a built-in workflow, agencies can input their Prohibited Technology exceptions, confirm that the exceptions are properly reviewed and approved by the executive head of the agency; report on these exceptions across the organization; and monitor the submission status of reported exceptions.

Please note: DIR does <u>not</u> approve Prohibited Technology exceptions.
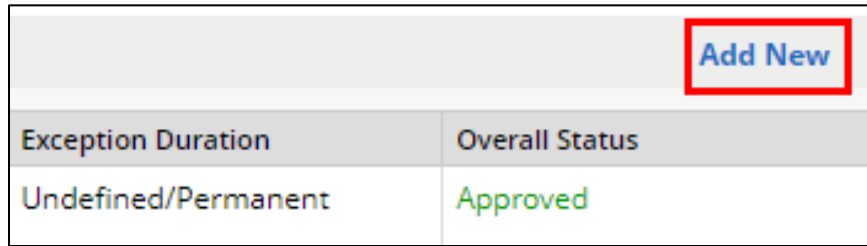
How to submit an Exception

1. Log into **SPECTRIM** from the Texas.gov Digital Identity Solution **(TDIS)**.

2. Select **Prohibited Technology Policy** from the top bar (if needed, select the ellipsis to see this option).

3. Select the **down arrow**, then select the **Prohibited Technology** option.
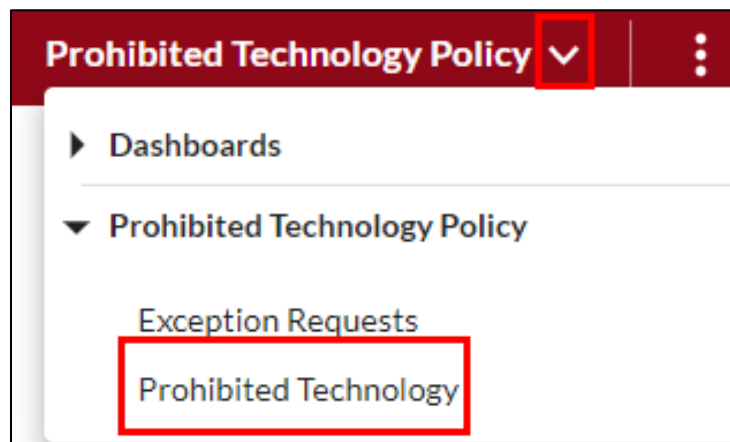
4. Select the **Questionnaire ID** for the agency's Prohibited Technology policy.
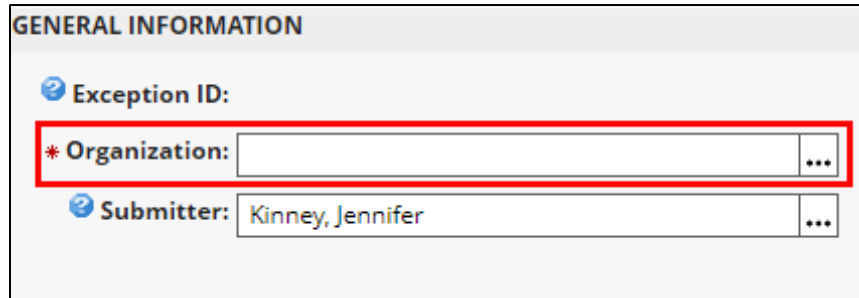

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5. Expand the **Exception Request** field and select **Add New** on the right side of the screen.
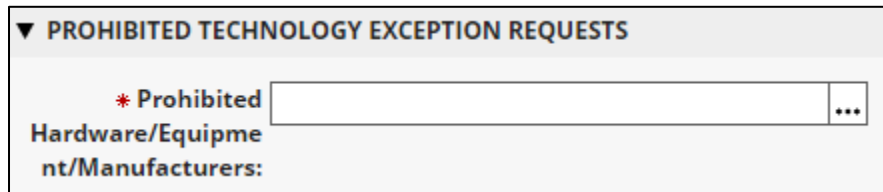
Add New	
Exception Duration	**Overall Status**
Undefined/Permanent	Approved

6. Under the **General Information** section, select your **organization** from the menu.

GENERAL INFORMATION

* Exception ID:
* Organization: [_____] ...
* Submitter: [Kinney, Jennifer] ...

7. Under the Exception Declaration section, fill in the Exception Description and Business Justification fields.

8. The **Business Impact** field is recommended, but not required.

9. Under the **Prohibited Technology Exception Request** section, select the prohibited technology for which the agency is taking an exception.

10. There are two different categories to select from, and an agency may select multiple options from either category.

▼ PROHIBITED TECHNOLOGY EXCEPTION REQUESTS

* Prohibited Hardware/Equipment/Manufacturers: [_____] ...

or

* Prohibited Software/Applications/Developers: [_____] ...

11. Responding to the **Exception Purpose** and **Exception Impact** fields is recommended, but not required.

12. Enter the Exception Effective Date and select the Exception Duration.

13. An **Exception Expiration Date** is required unless "**Undefined/Permanent**" is selected from the duration menu.

14. The following fields are optional: Device Type, Number of Individuals the Exception is For, and Number of Devices the Exception is For.

15. Agencies are **required** to check the **Authorization for Submission** and **Agency Head Approval boxes** before submitting the exception.

Authorization for ☑ I am authorized by my organization to submit this exception request
Submission:

Agency Head ☑ By checking this box, I am agreeing that the head of the agency identified
Approval:

16. Once all information is filled out, scroll back up to the top of the page, and select **Save**.

Exception Requests: **Add New Record**

SAVE   SAVE AND CLOSE

17. To submit the request, select **Actions** then select **Submit Exception Request**.

Exception Requests : EXC-71

EDIT   VIEW   ACTIONS ⌄

Date Created: 3/9/2023 10:46 AM

ADVANCES RECORD

Submit Exception Request

Exception Declaration

DOES NOT ADVANCE

▶ ABOUT

Save

▼ STAGE INFORMATION

Save and Close

Once an agency's exception is submitted, it will automatically have the "Completed" status to reflect that no further action is needed.

Overall Status

Completed