



## **IT 16.01 Technology Standards Exception Process**

### **Policy Authority**

All technology requests that do not conform to established BTS Technology Standards will require approval as an exception.

### **Purpose**

The process describes how BTS will handle requests for exceptions to the established hardware and software standards.

### **Scope**

All non-standard hardware and software requests.

### **Definitions**

***BTS Technology Standards***: published document listing the established hardware and software standards as set by BTS.

***Exception Catalog***: electronic log of exception request details and status.

### **Roles and Responsibilities**

#### **Customer**

- Clearly explain the business need that cannot be met by BTS standards.
- Work with their assigned Technology Business Consultant to develop the exception request.
- Comply with the decision made.

#### **BTS Support Center**

- Initial intake point for technology requests.
- Makes an initial evaluation of any request relative to established standards.
- Fulfills technology requests by installation.

#### **BTS Purchasing**

- Initial intake point for technology purchase requests.
- Makes an initial evaluation of any request relative to established standards.
- Fulfills technology requests by acquisition.

#### **Technology Business Consultants (TBC)**

- Facilitates the exception process with the Customer.
- Works with IB Chair to determine communication strategies with the Customer.

#### **Infrastructure Board (IB)**



- Overall management of the exception process.
- Evaluation and approval decision for exception requests.
- Management of the Exception Catalog.

### **BTS Functional Teams**

- Assesses the exception request for infrastructure and support impact.
- May propose alternate solutions.
- Document findings as part of the exception form.

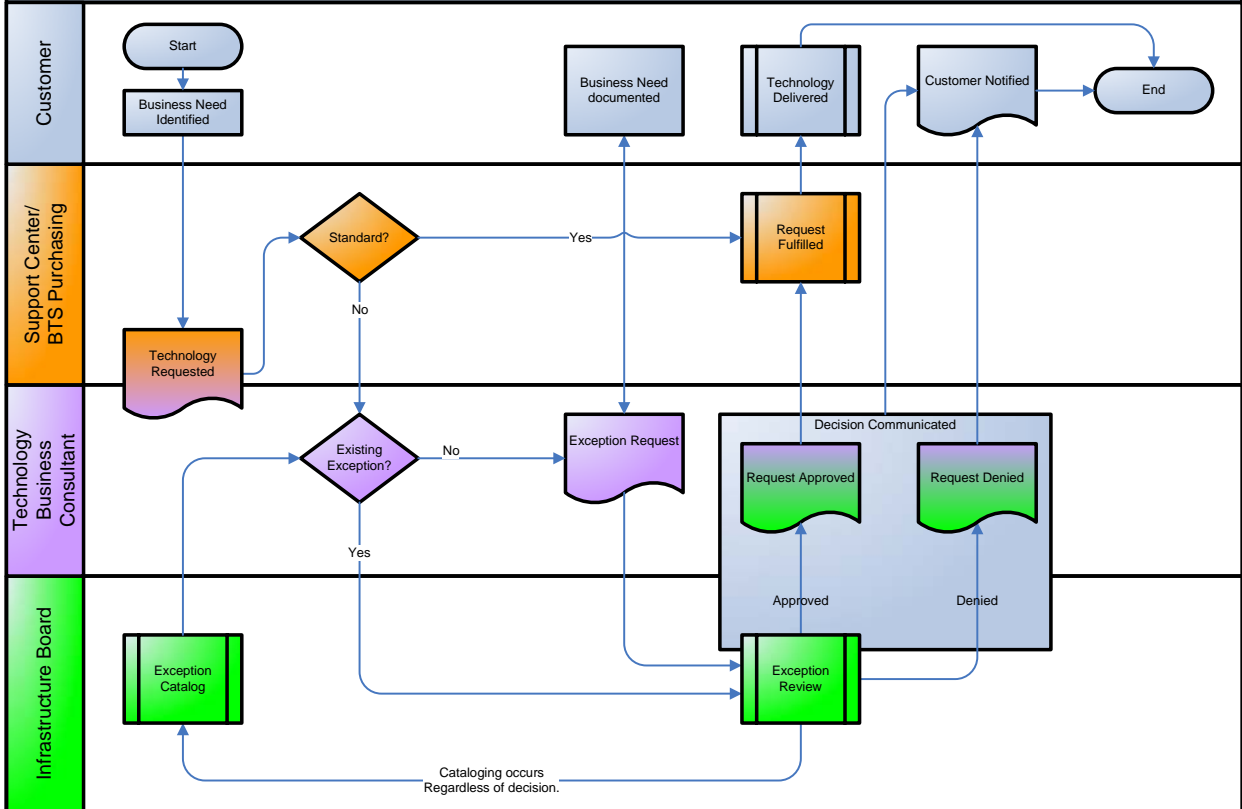
### **Process**

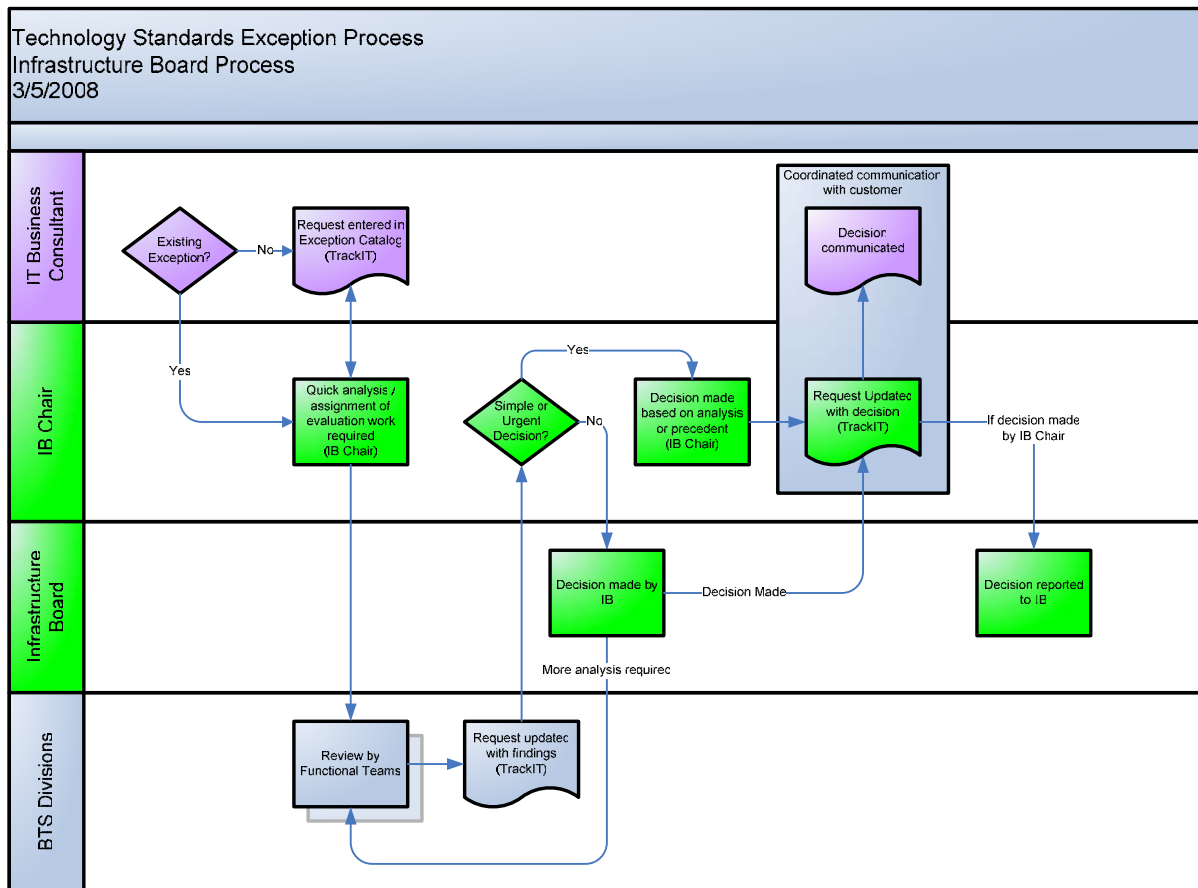
Technology requests are submitted through the BTS Support Center, as direct purchasing requests to BTS Purchasing or as technology requests through the TBC.. An assessment of the request is made against established standards. If non-standard, the request is forwarded to the IB and TBC. The TBC scans the Exception Catalog for similar requests. Either an existing request or a new exception request are submitted electronically to the IB for evaluation and an approval with the result communicated back to the customer, IT Purchasing, TBCs, and to the Support Center. Follow up purchase or installation coordination will be facilitated by the TBC.

Additionally, the IB Chair will work with the TBCs on a regular basis to track the status of Open requests.



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## Procedure

Define the detailed steps needed to perform the process (work instructions).

1. Customer submits a request for HW or SW technology to the Support Center, to BTS Purchasing, or to their TBC.
2. The Support Center, BTS Purchasing or TBC checks to see if it is a standard request.
  - a. If yes, fulfill the request.
  - b. If no, the Customer, TBC and IB Chair are notified of the non-standard request.
3. The TBC facilitates the exception process with the customer.
  - a. Determine if there is an existing exception that covers the business need.
  - b. If yes, the "Additional Requests" field of the existing request is updated with the new requestor information
  - c. If no, a new exception request is developed. The electronic Exception Request Form in TrackIT is completed.
4. The IB Chair is notified of the exception request.
  - a. This will happen automatically when a new electronic form is submitted.



- b. If an existing exception is used, the TBC fills in the name and date of the new requestor under the “Additional Requests” field of the form, submits it, then refers the form to the IB Chair.
5. The IB Chair performs an initial analysis to determine what functional areas of BTS need to review the exception request. The request is forwarded to the IB representative for the functional areas identified.
6. The IB Representatives work with their functional teams to assess the impact of the request. Their findings are documented as part of the electronic request form.
7. Upon completion of the analysis, the IB Chair determines if a decision can be made by the IB Chair, or if a full IB meeting is required.
  - a. If a full IB meeting is required, the issue is scheduled for the next IB meeting.
8. The decision is documented in the IB meeting minutes, and in the electronic request form.
9. The TBCs, Support Center, and BTS Purchasing are informed of the decision. The TBC and IB Chair determine the best strategy for communicating the decision with the customer.
10. The Customer is notified of the decision according to the strategy developed by the TBC and IB Chair.
11. Follow up actions to open or reopen request tickets are coordinated by the TBC.

Appeal Procedure: If the customer thinks a negative decision is inappropriate, the customer may appeal the decision in writing to the CTO. Such appeal must clearly state the business justification for the appeal. The CTO will make a final decision.

### **Effectiveness Criteria**

The Infrastructure Board will generally complete the approval process in no more than three weeks.

### **References**

*Define the inputs needed to perform the process (forms, related processes, etc.)*

*PortlandOnline BTS Technology Standards page at <http://www.portlandonline.com/omf/index.cfm?c=46940>. Path: BTS Home > Customer Service Center > Standards and Policies > Technical Standards / Policies > BTS Technology Standards.*

*Link from PortlandOnline BTS Technology Standards page to the [BTS Exception Request Form](http://www.portlandonline.com/omf/index.cfm?c=46707) at <http://www.portlandonline.com/omf/index.cfm?c=46707>.*

*Link from PortlandOnline BTS Technology Standards page to the [list of existing exception requests](http://www.portlandonline.com/trackit/btsexceptionrequest.cfm) at <http://www.portlandonline.com/trackit/btsexceptionrequest.cfm>.*

*BTS Exception Request Form accessed directly from Trackit Instance 93 <http://www.portlandonline.com/trackit>.*



**Records/Reports**

| <b>Revision History</b> |                       |  |                                 |             |
|-------------------------|-----------------------|--|---------------------------------|-------------|
| <b>Version</b>          | <b>Effective Date</b> | <b>Authored By (Name, Dept)</b>  | <b>Approved By (Name, Dept)</b> | <b>Date</b> |
| 1.0                     | 4/08/2008             | Paul Rothi, Production Engineering   | Project Oversight Committee     | 4/8/2008    |
| 1.1                     | 12/23/2008            | Minor process clarification language added.<br>Paul Rothi, Production Engineering. | Project Oversight Committee     | 12/23/20k08 |