

# Yale

## Policy Exception Requests - Frequently Asked Questions (FAQ)

### Contents

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How is the new process different from the old process? .....	1
How do I request an exception to an IT policy? .....	1
What information should I include in the request? .....	1
What happens next? .....	2
How long will the process take?.....	2
Approvers? Aren't all requests automatically approved by ISPC? .....	2
Who will have to approve my request? .....	3
What happens if an approver rejects my request? .....	3
What happens if all approvers approve my request? .....	3
I am in the exception tracking system, where do I find my exception request? .....	3
I have made my changes to the request, now what do I do? .....	3
I have been asked to approve an exception request, what do I do now? .....	4
Questions or Comments? .....	5

### How is the new process different from the old process?

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The process has been moved online in an effort to better track exceptions and impacted policies, better communicate with those requesting exceptions and their departments and to remove the need to use paper forms to obtain signatures for approval.

### How do I request an exception to an IT policy?

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Information Security, Policy and Compliance (ISPC) processes exception requests for IT systems and devices.

1. Contact your DSP and ask them to submit an exception request for you.
2. Submit your request directly to Information Security, Policy and Compliance ([it.compliance@yale.edu](mailto:it.compliance@yale.edu)).

### What information should I include in the request?



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1. Your name, department and contact information.
2. A description of the exception you are requesting.

3. (If known) the name of the computer system(s) where the exception should apply.
4. A brief description of the type of data you work with. Please be certain to mention if you see patients, handle ePHI, handle financial data, handle student academic records, process credit card payments, deal with Social Security numbers or work with children.

## What happens next?

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The items marked with an  icon will require your input, the items marked with an  are handled by ISPC or other individuals at Yale (a Lead Administrator providing approval for example).

	1. ISPC will create an exception request for you in the University's exception tracking system.
	2. You will then be invited to enter more details about your exception and correct any data entry or factual errors we may have made when we entered the request.
	3. You then submit this form to ISPC and we will review the form and send it along to any required approvers.
	4. The approvers will receive an email and visit the system to review the request and provide approval or reject the request.
	5. ISPC will review the completed request and notify you of the decision.

## How long will the process take?

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Our goal is to process each request and provide a decision in 10 business days or less. However, the length of time required to process the request will vary depending on the complexity of the request and how long it takes approvers to respond to approval requests.

## Approvers? Aren't all requests automatically approved by ISPC?

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ISPC does not grant policy exceptions for convenience. ISPC only evaluates risk to information security, computing system security and Yale's IT compliance; other individuals within your department or the University may need to review for compliance with business or academic needs of the University.

## Who will have to approve my request?

The list of approvers will change depending on the risk posed to the University by the request as determined by ISPC's compliance professionals. Low-risk requests generally only require approval of the department's lead administrator. At higher levels of risk, a department chair, the Provost or the Chief Information Security Officer may need to provide approval.

## What happens if an approver rejects my request?

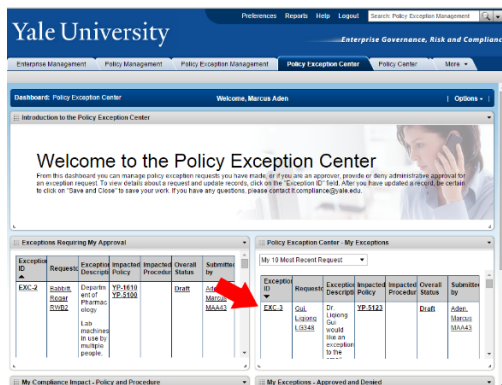
If any approver rejects a request, the policy exception will be denied. You will be informed via email when this occurs.

## What happens if all approvers approve my request?

ISPC will perform a final information security risk analysis and then approve or reject your request, providing an explanation of the decision. You will be informed via email in either case.

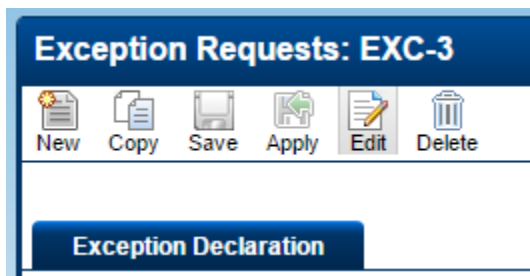
## I am in the exception tracking system, where do I find my exception request?

Your list of exception requests appears in the top-right pane on the landing page. Click the request's **Exception ID** (e.g. "EXC-1") to view the exception request.



## I have made my changes to the request, now what do I do?

1. Click **Edit**.



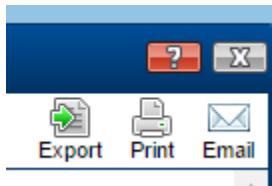
- Find the “**Submission Status**” on the form and change it from “**Submit for Requestor Review**” to “**Submit for Approval**”.

The screenshot shows a web form titled "Exception Declaration". Below the title is a grey bar with a right-pointing triangle and the word "About". Underneath is a blue bar with a downward-pointing triangle and the text "Submission Status". Below this is a red text warning: "By submitting this completed request, you acknowledge that you are accepti". The main form area has a label "\* Submission Status:" followed by a dropdown menu. The dropdown menu is open, showing three options: "Submit for Requestor Review" (highlighted in blue), "Submit for Requestor Review", and "Submit for Approval".

- Click on **Save** at the top of the Exception Requests window.



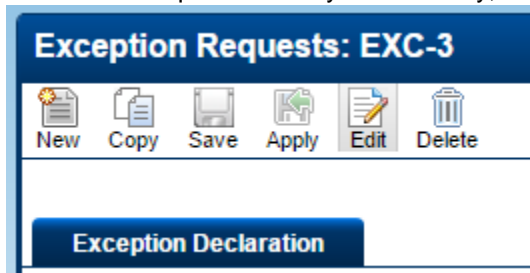
- ISPC has now been sent an email telling us you have submitted your updated request.
- Click on the “**X**” in the upper right of the Exception Requests window.



- Log out of the system.

## I have been asked to approve an exception request, what do I do now?

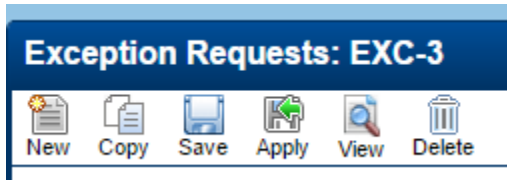
- Using the link provided in the email, or by visiting <http://its.yale.edu/egrc>, visit the policy exception tool.
- Your pending approvals will appear in the top-left pane on the landing page.
- Click on the **Exception ID** to view the exception request.
- Review the request. When you are ready, click **Edit**.



- Near the bottom of the page, provide your approval response (Yes or No) in the provided field.

Required Approvals		
All required approvals collected::		No
Exception Approved by All Approvers::		No
<p>Once you submit this request for approval, the individuals designated for each of these roles will be contacted asked to log in and approve this exception request.</p> <p>You must obtain <b>ALL</b> of the following approvals before you exception request can be reviewed by Information Security, Policy and Compliance.</p>		
<b>Required Approvals:</b> Requestor Lead Administrator	Requestor Lead Administrator	... Edit
<b>Lead Administrator Approver:</b> Updated by Aden, Marcus on 1/8/2015 3:31:19 PM	Updated by Aden, Marcus on 1/8/2015 3:31:19 PM	... Edit
<b>Department Chair or Requestor's Manager:</b>	Department Chair or Manager Approves::	Yes
<b>Office of the Controller Approver:</b> Updated by Aden, Marcus on 1/8/2015 3:27:55 PM	Office of the Controller Approves::	... Edit
<b>Dean or Provost Approver:</b>	Dean or Provost Approves::	... Edit

- Click **Save**.



- You may now exit the system. Thank you for participating in this process.

## Questions or Comments?

Please email [it.compliance@yale.edu](mailto:it.compliance@yale.edu)