

# University of Tennessee Institute of Agriculture: UTIA IT0302F – Information Technology Plan Exception Request Form

Version: 3.0 Effective Date: April 17, 2016

This form is to be used in conjunction with the <u>UTIA IT0302 – Information Technology Formal Exception Plan</u>. Please review the plan in its entirety, and then complete the form. Please use as much space as necessary to complete the form, giving as many details as possible. Once the form has been completed, please email to Sandy Lindsey, University of Tennessee Institute of Agriculture (UTIA or Institute) Chief Information Security Officer (UTIA CISO), at <u>sandy@tennessee.edu</u>. Should you have questions about anything you are being asked on this form, please email Sandy.

Name of the UTIA IT Security plan and/or procedure from which you are requesting exception.

**1.** Please describe the business process related to the exception and who it impacts (i.e., name of Group, Department, Unit, etc.).

- 2. Please describe in detail the reason for non-compliance.
- 3. Please give the business justification for non-compliance.
- **4.** Please give the computer's hardware (MAC) address for both wired and wireless network interface cards. (To get this, open a command prompt and type in ipconf/all. Please include all the "Physical Address" listings that you see. There is one for each type of network card in the computer.)



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5.	Please give a description of data being stored, processed, or accessed that will be potentially affected by non-compliance. This includes PCI, HIPAA, FERPA, or other data that has additional restriction requirements based on industry standards or state/federal laws and regulations.
6.	Please describe all potential risks associated with non-compliance.
7.	Please describe your maintenance plan, include mitigating controls for managing risk associated with non-compliance.
8.	Please give the anticipated period of non-compliance.
9	Please provide proposed date to review progress toward compliance (no more than 12

months).



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10. Provide any additional information that may support the need for a temporary exception:



#### University of Tennessee Institute of Agriculture: UTIA ITO302F - Information Technology Plan Exception Request Form

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v C131011. J.C	Directive Date, April 11, 2010

By signing this form, you understand that you are responsible for making the necessary changes required to be compliant with the UTIA IT security plan or procedure for which you are requesting temporary exception. The information you have provided will be reviewed and a decision will be provided to you in writing. You are not guaranteed an exception.

You also understand that by signing this form, you are accepting any risk associated with being non-compliant. Any compromise or breach that occurs due to non-compliance will be the responsibility of the department. This includes fines or other costs that may be incurred.

Once you and your Director/Department Head have signed the form, please forward to the UTIA CISO for initial review.

Requester (print name)	Title		
Requester Signature	Date		
Director/Department Head (print name)	Title		
Director/Department Head Signature	Date		
Associate Vice Chancellor for Business & Finance (print name)			
Associate Vice Chancellor for Business & Finance Signature	Date		
Dean (print name)	Title		
Dean Signature	Date		



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# **Status of Request**

You have been					
Denied for exception					
Approved for exception					
Date of expiration					
Date of follow-up review					
based on the information described in this document.					
UTIA CISO's Comments:					

Name	Title	Signature	Date
Sandra D. Lindsey	Chief Information Security Officer, UTIA		