Requesting Exceptions

While evaluating an entity that is out of compliance with the subcontrol, you can request an exception. Committing the exception request form initiates the exception workflow process. Exceptions affect the assessment that you are working and any other program that evaluates the entity-subcontrol pair.

Stage	Options	Next stage	Status	Description
Requested	Request	Review	Requested	Start of workflow stage, exception automatically transitions to the Executive owner of the entity for **Review.**
	Close	Closed	Expired	When stakeholders reject the review or sign off stage, gives the requestor the opportunity to add more information and request again or close the ticket as rejected. **Note**: Exception permissions are required.
Review	Sign off	Sign off	--	Transitions the request to Security owner of the entity for **Sign off.**
	Reject	Requested	Rejected	Returns the request to Exception Requestor and transitions the request back to the **Requested** stage.
	Delegate	--	Delegated	Assigns the request to another user, and allows that user to sign off or reject the exception as the temporary stakeholder of the Review stage. **Note:** If the delegate rejects the request, it moves back to the requestor.
Sign off	Accept	Accepted	Closed	Closes the request with an accepted status and removes compliance results from related reports and assessments.
	Rejected	Rejected	Requested	Returns the request to Exception Requestor and transitions the request back to the **Requested** stage.
Closed				

Exceptions impact programs and reports, as follows:

- An approved exception in the closed state (100% progress) allows the entity to be out-of-compliance with the control for a specified period without impacting the risk and compliance scores. The exception is applied to all programs with assessments of the entity-subcontrol pair.

- An expired exception in the closed state displays in all programs and assessments with the entity-subcontrol pair, but the results, answers of the questionnaire responders, are included in the risk and compliance scores.

- An open exception request, that is a request in any stage but closed, is flagged in programs and assessments, the questionnaire results use the questionnaire answers while calculating risk and compliance scores.

> ⓘ The exception request menu item is an optional questionnaire preference configured by the Program Owner. Exceptions apply to controls, subcontrols, and findings.

To request an exception:

1. Open the questionnaire by clicking the questionnaire in the My Assessments or navigating to Home > Questionnaires and selecting **Work on this Questionnaire** or **Resume Questionnaire** from the action menu in the questionnaire's row.

2. Go to the question in the navigation pane and select the control. If there is more than one subcontrol, a table displays. Select the subcontrol title to open the question.

   The question displays.

3. Click Request Exception. The **Exception Request** wizard appears.

The Exception Request wizard.

4. Enter the exception general and add an attachment, and then click OK.

   ○ If you selected attachments, the selection window displays after you click OK. To complete the attachment process, enter a description, select a file, and click OK.

5. Canceling the attachment seems to cancel the entire Exception Request, but it displays after a while without an attachment.

An exception icon displays in the actions column next to the question in the control tables, in the control on the Questionnaire navigation pane, and in the Questionnaires table.

The exception request automatically transitions to the Review stage and the stage stakeholder is notified according to the workflow settings.