



## Chief Information Security Office

### Exception Request Form Directions for NYS Agencies

*This document contains the directions for filling out the [NYS-P13-001 Security Exception Form](#). If you are filling this out as a NYS Agency, please reach out to your agency information security officer (ISO)/designated security representative or your NYS ITS Business Information Security Officer (BISO) to aid in filling out the form. If you are part of a local government, school district, or other entity, and have questions, please contact the NYS Chief Information Security Office – Governance and Compliance unit by email: [GCAT@ITS.ny.gov](mailto:GCAT@ITS.ny.gov)*

**Please fill out every section, if necessary, N/A if not applicable.**

#### **Section 1: Exception**

##### **1.1 Point of Contact Information**

*This area is to identify who would be the best contact for any questions on the exception request. The ISO/designated security representative is often a good choice; however, it could be others such as a Project Manager, Application/Information/Business Owner, etc.*

##### **1.2 Exception Details**

###### **Policy Reference:**

*Please identify from which NYS security policy(s) you are requesting an exception. Please provide the policy reference number(s) and name(s).  
(<https://its.ny.gov/ciso/policies/security> )*

###### **Standard Reference:**

*Please identify from which NYS security standard(s) you are requesting an exception. Please provide the standard reference number(s) and name(s).  
(<https://its.ny.gov/ciso/policies/security> )*

###### **Proposed End Date:**

*How long will the exception be required? Remember that exceptions should be used as a temporary measure while a change in technology or procedure is developed that will meet the policy and/or standard. No indefinite exception requests will be allowed.*



**Agency(s) Impacted:**

*Which agency(s) is impacted by the non-compliance? (Remember that systems and data can touch multiple agencies.)*

**System(s) Hardware Impacted (if applicable):**

*List any systems, servers, databases, endpoints or network equipment, etc. that may be affected by the granting of this exception. This may also help in identifying the agency(s) that may be affected.*

**Will this impact the process, stage and/or transmission of PPSI?**

**Yes                      No**

*If yes, please provide type(s) of PPSI.*

**1.3 Exception Request**

**Background Information:**

*Please provide sufficient information that will allow the reviewers to have a clear understanding of the system(s) involved with this request, including its purpose, its data, and its platform/architecture.*

**Reason for Request:**

*Please describe the specific issue with compliance. Note the specific subsection with the policy or standard listed above. (<https://its.ny.gov/ciso/policies/security> )*

**1.4 Description/Assessment of Risk**

*Please describe the risk(s) that will exist as a result of non-compliance. This should be expressed clearly and speak to technical and business risk.*

**1.5 Compensating Controls (to mitigate risk associated with non-compliance)**

*Please provide the compensating controls (if any) that have been implemented to lessen the risks that are described above.*

**1.6 Corrective Action Plan**

*This area can have two distinct answers:*

1. *Corrective Action Plan - Please provide the plans and methods that will be employed to eliminate the need for this exception request, with specific details such as project number, major milestones, and estimated completion date.*



2. *Risk Acceptance - Provide an explanation of why compliance is not reasonable or feasible to achieve, and why the agency has chosen to accept the risk. (This may allow for a longer period before the exception would expire.)*

## **Section 2: Requestor Authorizations**

*(for Adobe Digital Signature please see directions in [Appendix A](#)) – cc: all signers on email submission*

### **2.1 Information/Business Owner:**

*Please provide Name, Title, and signature/digital signature*

### **2.2 Information Security Officer (ISO)/Designated Security Representative:**

*Please provide Name, Title, and signature/digital signature*

### **2.3 Chief Information Officer (Agency/Portfolio CIO):**

*Please provide Name, Title, and signature/digital signature*

### **2.4 Commissioner/Executive Deputy (or equivalent):**

*Please provide Name, Title, and signature/digital signature*

### **2.5 Additional comments by any Authorized Signers:**

*This section provides a place for a signatory to provide any comments they may have in support or against the approval of this request. For example, the ISO may not approve of the exception even though they are required to sign it prior to submission.*

## **Section 3: Exception Approval/Denial (For CISO Use Only)**

**Approved    Denied**

### **Approved Review Date:**

*This is the date set by the CISO as to when this exception will need to be reviewed.*

### **Reason for Approval/Denial:**

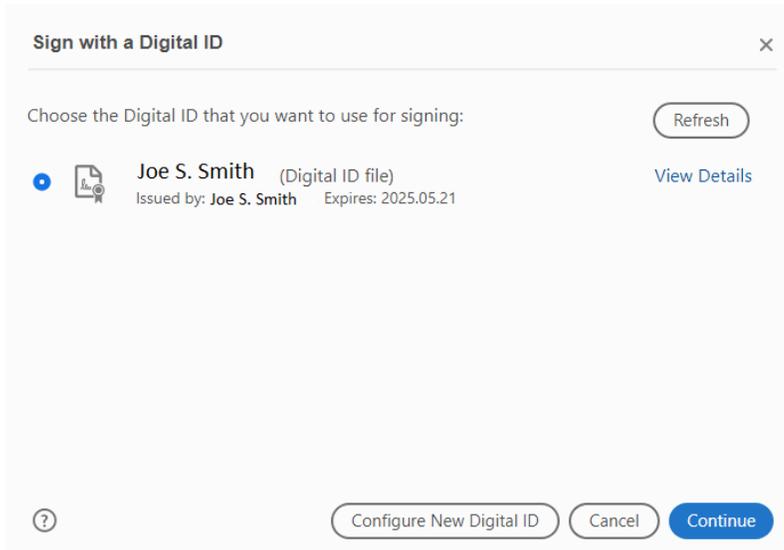
*This allows for any comments that need to be made regarding the approval/denial of the exception.*

### **3.1 Chief Information Security Officer or Delegate:**

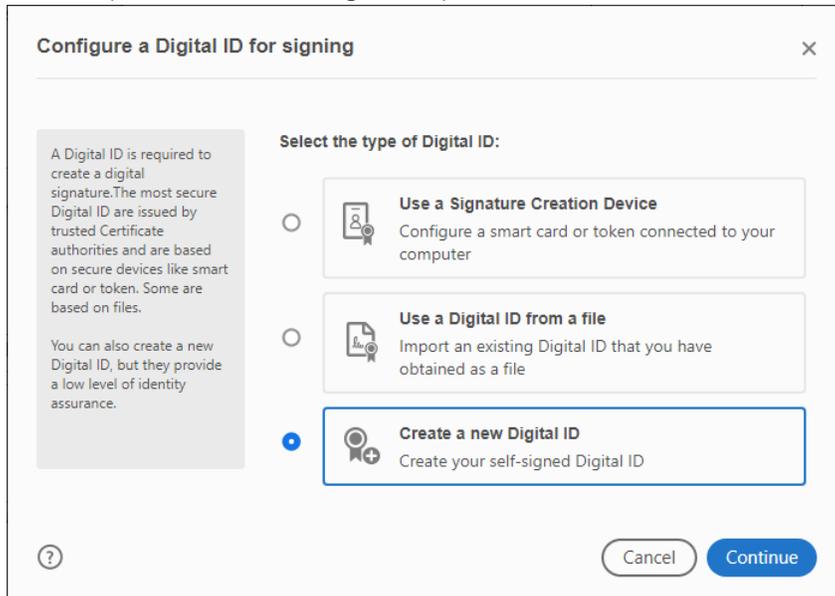
*Please provide Name, Title, and signature/digital signature*

## Attachment A – Adobe Acrobat Reader DC Digital Signature Directions

1. Open the Exception form PDF that needs to be Signed.
2. Click on the signature field on the form.
3. The following screen will open: (If you have a signature skip to step 9)
4. To create a new signature select (Configure new Digital ID) on the bottom, then click continue:



5. Select (Create a new Digital ID) then click continue:





6. Select the Destination (I will show SAVE TO FILE) then click continue:

### Select the destination of the new Digital ID

Digital IDs are typically issued by trusted providers that assure the validity of the identity. Self-signed Digital ID may not provide the same level of assurance and may not be accepted in some use cases.

Consult with your recipients if this is an acceptable form of authentication.

- Save to File**  
Save the Digital ID to a file in your computer
- Save to Windows Certificate Store**  
Save the Digital ID to Windows Certificate Store to be shared with other applications

[?](#) [Back](#) [Continue](#)

7. Fill in the information, then click continue:

### Create a self-signed Digital ID

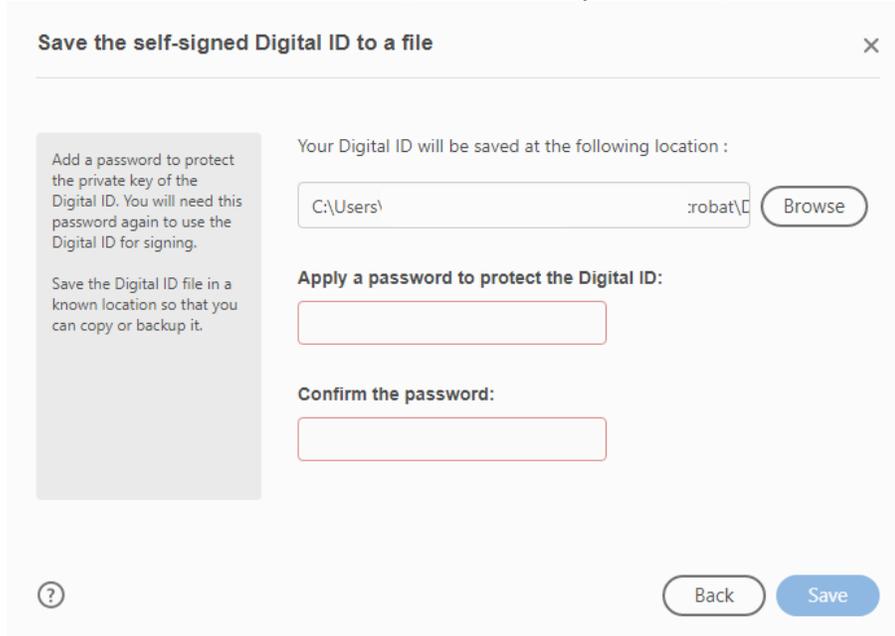
Enter the identity information to be used for creating the self-signed Digital ID.

Digital IDs that are self-signed by individuals do not provide the assurance that the identity information is valid. For this reason they may not be accepted in some use cases.

Name	<input type="text" value="Enter Name..."/>
Organizational Unit	<input type="text" value="Enter Organizational Unit..."/>
Organization Name	<input type="text" value="Enter Organization Name..."/>
Email Address	<input type="text" value="Enter Email..."/>
Country/Region	<input type="text" value="US - UNITED STATES"/>
Key Algorithm	<input type="text" value="2048-bit RSA"/>
Use Digital ID for	<input type="text" value="Digital Signatures"/>

[?](#) [Back](#) [Continue](#)

8. Choose location to save file, and create password, then click save:



**Save the self-signed Digital ID to a file** [X]

Add a password to protect the private key of the Digital ID. You will need this password again to use the Digital ID for signing.

Save the Digital ID file in a known location so that you can copy or backup it.

Your Digital ID will be saved at the following location :

C:\Users\ [robot\] [Browse]

**Apply a password to protect the Digital ID:**

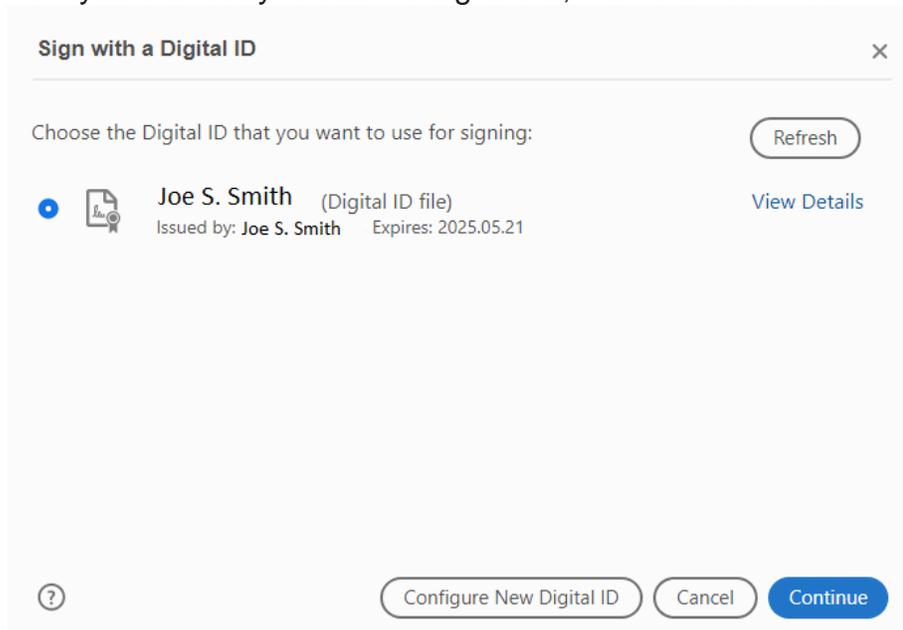
[ ]

**Confirm the password:**

[ ]

[?] [Back] [Save]

9. Now you are ready to use the signature, then click continue:



**Sign with a Digital ID** [X]

Choose the Digital ID that you want to use for signing: [Refresh]

[ ] **Joe S. Smith** (Digital ID file) [View Details](#)  
Issued by: Joe S. Smith Expires: 2025.05.21

[?] [Configure New Digital ID] [Cancel] [Continue]



10. Make any changes you want and enter your password and click sign:

Sign as "Brian R. DuBois" ×

Appearance Standard Text Create

**Joe S.  
Smith** Digitally signed by  
Joe S. Smith  
Date: 2020.05.21  
13:20:07 -04'00'

[View Certificate Details](#)

Review document content that may affect signing Review

\*\*\*\*\* Back Sign

11. After clicking sign it will prompt you to save the document. Now you can forward the document on to the next person to review and sign.