



Office of Information Technology Services

State Capitol P.O. Box 2062
Albany, NY 12220-0062
www.its.ny.gov

New York State Information Technology Policy	No: NYS-P13-001
IT Policy: Information Security Exception Policy	Updated: 02/07/2020
	Issued By: NYS Office of Information Technology Services Owner: Chief Information Security Office

1.0 Purpose and Benefits

This purpose of this policy is to provide a method for obtaining an exception to compliance with a published New York State (NYS) Office of Information Technology (ITS) information security policy or standard.

2.0 Authority

Section 103(10) of the State Technology Law provides ITS with the authority to establish statewide technology policies, including technology and security standards. Section 2 of Executive Order No. 117, established January 2002, provides the State Chief Information Officer with the authority to oversee, direct and coordinate the establishment of information technology policies, protocols, and standards for State government, including hardware, software, security, and business re-engineering. Details regarding this authority can be found in NYS ITS Policy, [NYS-P08-002 Authority to Establish State Enterprise Information Technology \(IT\) Policy, Standards and Guidelines](#).

3.0 Scope

This policy applies to all “State Entities” (SE), defined as “State Government” entities as defined in Executive Order 117, established January 2002, or “State Agencies” as defined in Section 101 of the State Technology Law. This includes employees and all third parties (such as local governments, consultants, vendors, and contractors) that use or access any IT resource for which the SE has administrative responsibility, including systems managed or hosted by third parties on behalf of the SE. While an SE may adopt a different policy, it must include the requirements set forth in this one.

4.0 Information Statement

An exception may be granted by the Chief Information Security Officer (CISO) of ITS, or their designee, for non-compliance with a policy or standard resulting from:

- Implementation of a solution with equivalent protection to the requirements in the CISO policy or standard.
- Implementation of a solution with superior protection to the requirements in the CISO policy or standard.
- Impending retirement of a system.
- Inability to implement the policy or standard due to some limitation (e.g., technical constraint, business limitation or statutory requirement).

Exceptions are reviewed on a case-by-case basis and their approval is not automatic. Exceptions that are granted will be for a specific period of time, not to exceed one year. Upon expiration of the exception, an extension of the exception may be requested, if it is still required.

The exception request must be submitted on a completed Exception Request Form and must include:

- Description of the non-compliance
- Anticipated length of non-compliance
- Proposed assessment of risk associated with non-compliance
- Proposed compensating controls for managing the risk associated with non-compliance
- Proposed corrective action plan
- Proposed review date, if less than one year, to evaluate progress toward compliance
- The Exception Request Form must be signed by the following:
 - Information/business owner
 - Chief Information Officer (CIO)
 - Information Security Officer (ISO)/designated security representative
 - Commissioner/Executive Deputy Commissioner

If the non-compliance with the security policy or standard is due to a superior solution, an exception is still required and will normally be granted until the published policy or standard can be revised to include the new solution.

Upon submission of the Exception Request Form, the CISO's office will contact the requester to confirm receipt and request additional information, if needed. Once all required information has been received, the CISO will either grant or deny the request.

Upon approval, the CISO's office will send the approved Exception Request Form to the requestor. If the request is denied, the Exception Request Form will be returned with a brief explanation of why the CISO denied the request.

In the event that the request is denied, the Commissioner/Executive Deputy Commissioner and the CIO who signed the Exception Request Form may request a meeting with the State CIO and the CISO to discuss the circumstances giving rise to the request and means of addressing those circumstances.

5.0 Compliance

This policy shall take effect upon publication. Compliance is expected with all enterprise policies and standards. ITS may amend its policies and standards at any time; compliance with amended policies and standards is expected.

If compliance with this policy is not feasible or technically possible, or if deviation from this policy is necessary to support a business function, State Entities (SE) shall request an exception through the CISO [exception process](#).

6.0 Definitions of Key Terms

Except for terms defined in this policy, all terms shall have the meanings found in <http://www.its.ny.gov/glossary>.

7.0 Contact Information

Submit all inquiries and requests for future enhancements to the policy owner at:

Chief Information Security Office
Reference: NYS-P13-001
NYS Office of Information Technology Services
1220 Washington Avenue, Building 5
Albany, NY 12226
Telephone: (518) 242-5200
Email: CISO@its.ny.gov

Statewide technology policies, standards, and guidelines may be found at the following website: <http://www.its.ny.gov/tables/technologypolicyindex>

8.0 Revision History

This policy shall be reviewed at least once every year to ensure relevancy.

Date	Description of Change	Reviewer
10/18/2013	Original Policy Release	Thomas Smith, Chief Information Security Officer
09/19/2014	Policy Review – no changes	Deborah A. Snyder, Acting Chief Information Security Officer
02/10/2017	Update to Scope, contact information and rebranding	Deborah Snyder, Deputy Chief Information Security Officer
02/07/2020	Updated Authority, Scope, and Contact Information	Karen Sorady, Acting Chief Information Security Officer
05/20/2021	Updated Scope language	Karen Sorady, Acting Chief Information Security Officer

9.0 Related Documents

[NYS-P13-001 Information Security Exception Policy Form](#)



Office of Information Technology Services

Chief Information Security Office - Exception Request Form

Confidential when completed

Section 1: Exception		
1.1 Requestor Information		
Name:	Phone:	Date:
Business Unit:		
Email:		
1.2 Exception Details		
Policy Reference:	Standard Reference:	Exception End Date: (no more than one year)
Agency(s) Impacted:		
System(s) Hardware Impacted (if applicable):		
Will this impact the process, stage and/or transmission of PPSI? Yes _____ No _____		
1.3 Reason for Exception Request		
1.4 Description/Assessment Risk		
1.5 Compensating Controls (to mitigate risk associated with non-compliance)		
1.6 Corrective Action Plan		

Section 2: Requestor Authorizations

2.1 Information/Business Owner: X _____ Print Information/Business Owner	X _____ Sign Information/Business Owner	Date:
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2.2 Information Security Officer (ISO)/Designated Security Representative: X _____ Print ISO	X _____ Sign ISO	Date:
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2.3 Chief Information Officer (CIO): X _____ Print Agency/Portfolio Executive Director	X _____ Sign Agency/Portfolio Executive Director	Date:
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2.4 Commissioner/Executive Deputy (or equivalent): X _____ Print Commissioner/Executive Deputy	X _____ Sign Commissioner/Executive Deputy	Date:
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Return to: ciso@its.ny.gov	NYS Office of Information Technology Services Chief Information Security Office 1220 Washington Avenue, Building 5 Albany, NY 12226 Phone (518) 242-5200
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Section 3: Exception Approval/Denial (For CISO Use Only)

Exception: Approved _____ Denied _____	Proposed Review Date:
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Reason for Denial:

3.1 Chief Information Security Officer/Deputy CISO:	Date:
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