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

Chief Information Security Office

Exception Request Form Directions

This document contains the directions for filling out the NYS-P13-001 Security Exception Form. This form should be completed by or with the assistance of your organization's information security officer/designated security representative (ISO). If you are part of a local government, school district, or other State Entity and have questions regarding the form, please contact the NYS Chief Information Security Office –Governance and Compliance unit by email for assistance at GCAT@ITS.ny.gov

Please fill out every section. If necessary, insert "N/A" if not applicable.

1.0 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 and Standard 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/policies)

1.3 Exception 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.

1.4 Agency(s) Impacted:

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

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

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

1.6 Will this impact the process, staging, and/or transmission of PPSI? Yes No

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

1.7 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.

1.8 Reason for Request:

Please describe the specific issue with compliance and the business function that cannot be supported without an exception. Note the specific subsection with the policy or standard listed above. (https://its.ny.gov/policies)

1.9 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 that will exist for the duration of the exception. It is highly recommended to work with your ISO/ITS designated representative to appropriately determine the risk of non-compliance.

1.10 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 in the description/assessment of risk above.

1.11 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. Details include but not limited to:*

    - *ITSM# and ITSM# additional information*
    - *Is the impacted user accessing internally or externally?*
    - *Attach data flow diagram(s)*
    - *Does this exception fall under an existing project (e.g., CRRP)?*

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 of time before the exception would expire.)*

2.0 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 Cyber Risk Coordinator (CRC) or Information Security Officer/designated security representative (ISO):

Please provide Name, Title, and Signature/digital signature

2.3 Deputy Commissioner of Technology (if appropriate):

Please provide Name, Title, and Signature/digital signature

2.4 Commissioner/Executive Deputy (or authorized designee):

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 of, or against, the approval of this request. For example, the ISO/designated security representative may not approve of the exception, even though they are required to sign it prior to submission.

3.0 Exception Approval/Denial (*For CISO Use Only)*

3.1 Approved or Denied Proposed Review Date:

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

3.2 Reason for Denial:

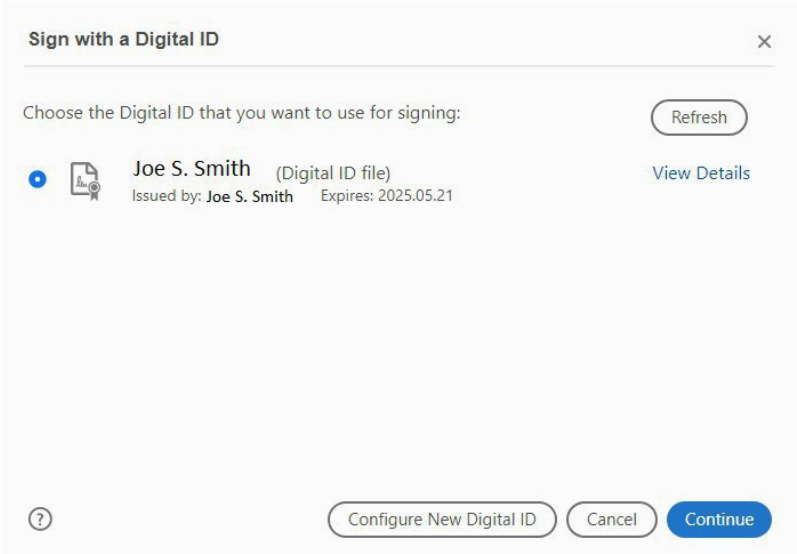
This allows for any comments that the CISO may have regarding the approval/denial of the exception.

3.3 Chief Information Security Officer or Delegate:

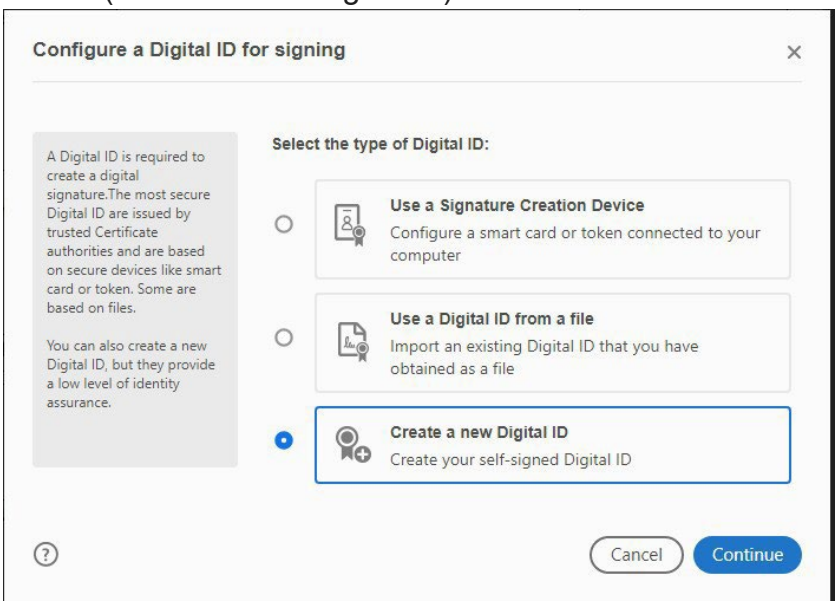
Please provide Name, Title, and Signature/digital signature

4.0 Attachment A – Adobe Acrobat Reader DC Digital Signature Directions

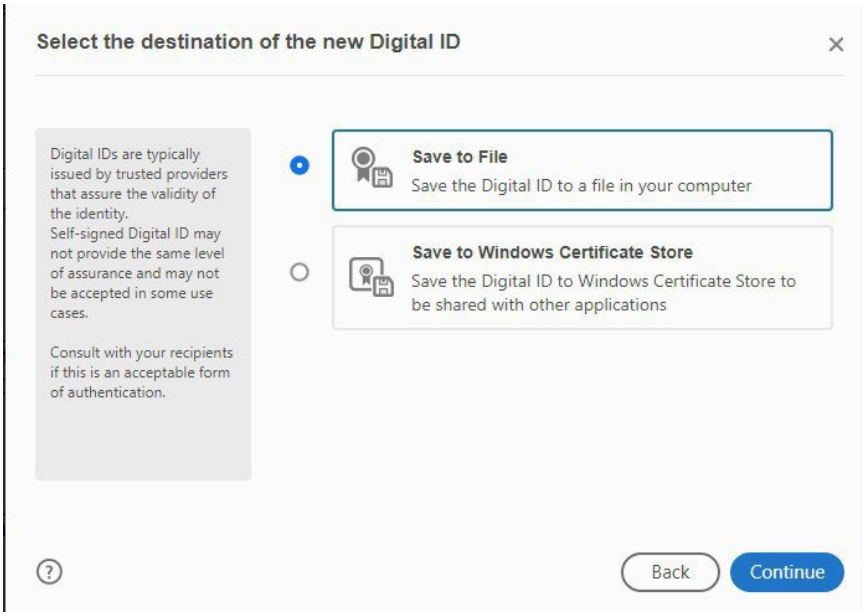
1. Open the Exception form PDF that needs to be Signed.
2. Click on the signature field on the form.
3. The following screen will open: (If you have a signature skip to step 9)
4. To create a new signature, select (Configure new Digital ID) on the bottom, then click continue:



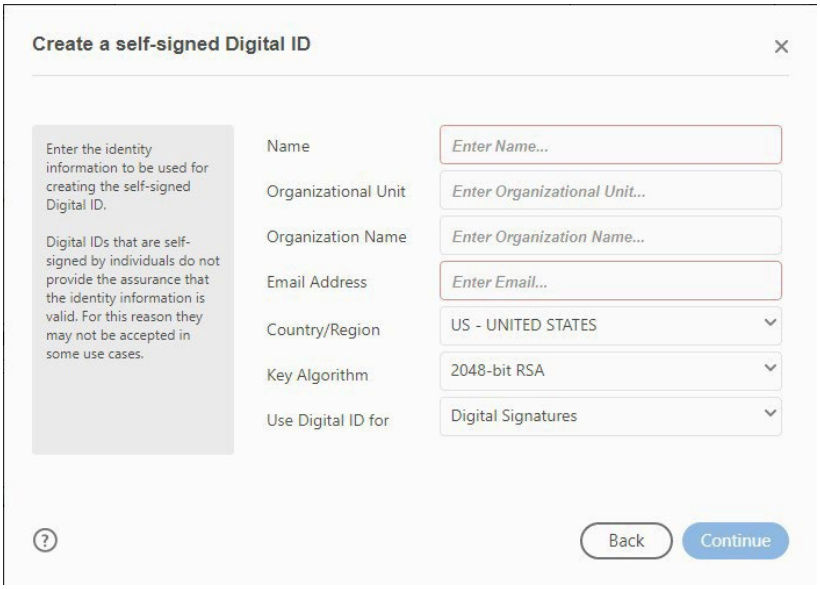
5. Select (Create a new Digital ID) then click continue:



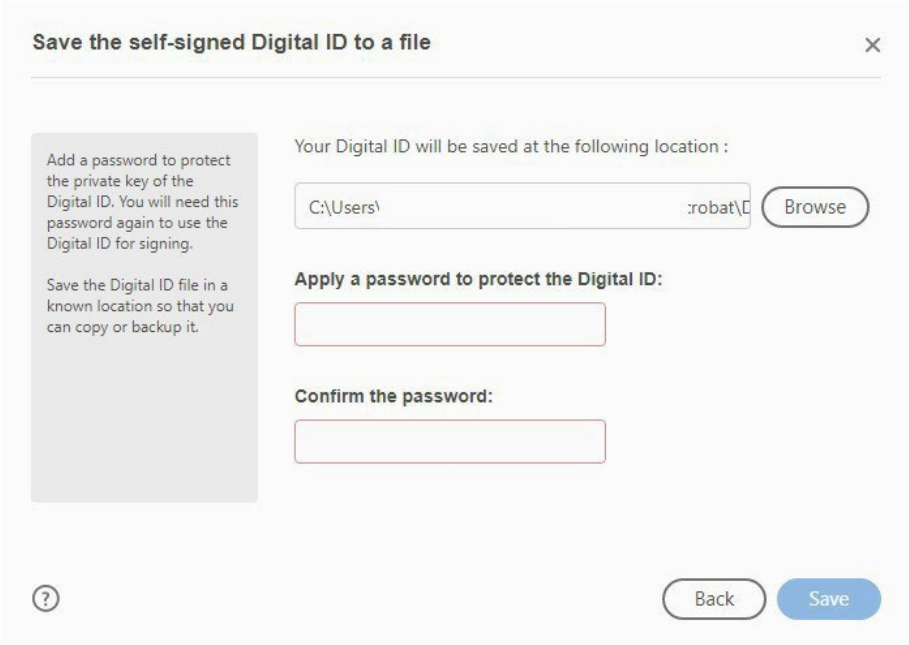
6. Select the Destination (It will show SAVE TO FILE) then click continue:



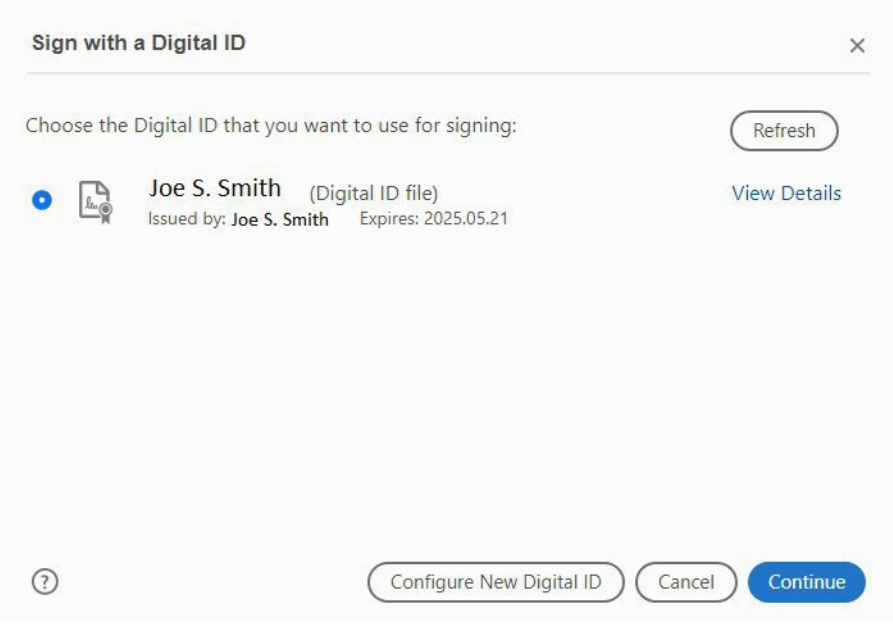
7. Fill in the information, then click continue



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



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



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