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Statement of Exception Template

NIA Policy Implementation

End of Audit Year: 20XX - YY

< Agency Name >



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WHAT IT IS?

This template is used to report business functions, process or assets that should be considered as exceptions for NIA Policy compliance audit. It helps Agencies to identify and report audit exceptions.

WHY IS IT IMPORTANT?

The National Information Assurance Policy is proposed to secure information assets of Agencies in the State of Qatar. It is mandatory for all Agencies to comply with the NIA Policy. However, it may not be possible for an Agency to comply with all requirements specified in the NIA policy document. There may be some exceptions that should be taken into account before planning for NIA policy compliance audit. Hence to report audit exceptions, Agency should develop a Statement of Exception prior to NIA policy compliance audit.

Upon the approval of Cyber Security department in MoTC, the agency's exceptions (functions, departments and/or processes) will be excluded from NIA Policy Compliance audit. The Accredited auditor / audit company will carry out NIA Policy compliance audit on Agency by excluding approved exceptions. This template will allow Agencies to define its exceptions for NIA Policy compliance audit.

WHO SHOULD USE?

Agency Security Manager

HOW TO USE IT?

This document must be labeled as 'RESTRICTED' since as per Documentation [DC] of NIAM all ICT security documentation should be given highest confidentiality rating (C3). The objective of this template is to identify, document and report Agency audit exceptions that should be excluded from NIA policy compliance audit. Consider the template as a form and then:

1. Start identifying business areas such as functions, departments, processes, sections and/or assets which are not ready for the NIA Policy audit.
2. For each exception, provide details such as
 - i Describe audit exception with adequate explanation
 - ii Explain rationale for requesting exception
 - iii Identify and list risks involved for not implementing NIA Policy controls
 - iv Provide mitigation measures in place for minimizing risk impact
3. Identify the Agency officer/staff person who is responsible for ensuring compliance for requesting exceptions after the audit and provide his/her contact details.
4. Obtain approval of the Agency Head & Security Manager.

Statement of Exception

وزارة المواصلات والاتصالات
MINISTRY OF TRANSPORT
AND COMMUNICATIONS



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DECLARATION

(User should print/write this page on his/her official letterhead/stationery. This section should briefly outline what this document is about, its contents and brief on why it should be reported. This section may also mention names of individuals who contributed to the analysis and document preparation.)

On behalf of <The Agency Name>, we hereby confirm that the functions, department, processes, sections or systems listed in this document (please refer to previous page) should be excluded from the NIA Policy Compliance Audit.

Signature of Agency Head

Date:

Signature of Security Manager

Date:

Official Seal



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Exceptions to be considered

(Identify, list and provide areas to which exception is being requested.)

| | |
|---|---|
| <p>1. Description</p> <p>Rationale</p> <p>Risks Involved</p> <p>Mitigation Plan</p> | <p>[Example] Agency Courier/Transport service does not comply with NIA Policy particularly with IE7 baseline control of NIAM.</p> <p>[Example] Due to the impact of the recent global recession, An Agency had to look for various ways to minimize its operational costs. As a part of minimizing costs, the agency cancelled existing service agreement with well-known courier agency and entered in to a 5-year contract with a newly setup courier agency. The contract was given only after vendor agreed to</p> <ul style="list-style-type: none"> • implement appropriate information security controls and • periodic checks to improve service <p>[Example] Loss, damage, unauthorized access, miss-delivery, delay</p> <p>[Example] These risks are common to all couriers. However, Agency can minimize impact of these risks by</p> <ul style="list-style-type: none"> • use of HSMs with appropriate encryption levels • insuring high-valued information assets • ensuring regular reporting, monthly checks etc. |
| <p>2. Description</p> <p>Rationale</p> <p>Risks Involved</p> <p>Mitigation Plan</p> | |
| <p>3. Description</p> <p>Rationale</p> <p>Risks Involved</p> <p>Mitigation Plan</p> | |



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|----|-----------------|--|
| 4. | Description | |
| | Rationale | |
| | Risks Involved | |
| | Mitigation Plan | |

Compliance Contact

| | |
|--------------|-----------------------------|
| Name | [Example] Mr. Hameed |
| Designation | Security Manage |
| Phone Number | XXXX – XXXXX extn. XXXXXXXX |
| Fax | XXXXXXXXXX |
| Email | XXXXXXXXXX |