



Exception Handling Policy



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1. Purpose

The purpose of this Exception Handling Policy is to establish a structured approach for identifying, reporting, analysing, and resolving exceptions within the organization. This ensures timely resolution, minimizes security risks, and maintains operational efficiency while complying with legal, regulatory, and organizational requirements.

2. Scope

This policy applies to all the published Trianz's defined policy, procedure and guidelines. This policy does not apply to any of the policies or procedures published by groups outside of Trianz Information Security Management System.

3. Policy Statement

An exception to the ISMS/PIMS practices may be granted by Product/Project Manager, IT Manager and CISO, if required for non-compliance resulting from:

- Implementation of a solution with equivalent protection.
 - Implementation of a solution with superior protection.
 - Impending retirement of a legacy system.
 - Inability to implement the standard due to some limitation
- Exceptions are granted for a specific period, not exceeding one month to three months or the end of the contract, whichever is earlier. Exceptions are reviewed on a case-by-case basis and their approval renewal is not automatic.
- The exception review process must log all findings and results in a central repository
- Approved exceptions must be periodically reviewed semi-annually by Information systems, InfoSec and compliance, and the unit requesting the exception.

4. Exception Request

All Exception Requests should be logged in the control doc under the [exception request feature](#). All requests will go via service desk team to for the first level reporting Manager Approval and then IT manager approval.

- **Exception ticket creation > IS Help Desk > Reporting Manager Approval > IT Manager Approval (Can decide for further Approval required or not) if 'Yes' > CISO for final approval / rejection.**
 - An exception requestor should review and work with IS team and InfoSec and compliance team member to:
- Assess the risks created by the exception,

- Evaluate potential alternatives,
- Attain recommendations.

The Exception Request must include:

- Description of the non-compliance
- Anticipated length of non-compliance
- Assessment of risk associated with the requested non-compliance
- Proposed plan for managing the risk associated with non-compliance
- Proposed metrics for evaluating the success of risk management
- Proposed review date to evaluate progress toward compliance
- Approval of the exception request by the Project manager/Function head by email and duly signed in the exception request form.
- After InfoSec has reviewed the request and confirmed the details of the requested exception, the Chief Information Security Officer (CISO) will review and approve/reject.
- If the non-compliance is due to a superior solution, an exception will normally be granted until the published standard or procedure can be revised to include the new solution. An exception request must still be submitted.

5. ISO Control Mapping

Category of Control	ISO 27001:2022 Control	Document Name as per ISO 27001:2022
Organizational controls	5.1 to 5.37	Exception Handling Policy
People controls	6.1 to 6.8	Exception Handling Policy
Physical controls	7.1 to 7.14	Exception Handling Policy
Technological Controls	8.1 to 8.34	Exception Handling Policy

Document Control

Owner:	CISO	Release ID:	EXCP-POL-055
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For Trianz Process Improvement Group (TPIG) Purpose Only

Version History

Ver. No.	Date	Author	Reviewer	Approver	Reason for Change	Change Description
0.01		Joshy VM			Initial Draft	Nil
0.02	26-Aug-19		Phani Krishna		Initial draft review	All sections
0.03	11-Sep-19	Karthik N	Phani Krishna		Initial draft review	Attached the exception request form.
0.05	13-Sep-19	Karthik N	Phani Krishna & Balu Nair		Final review	Review feedback incorporated
0.06	16-Sep-19		Phani Krishna		Incorporated feedback from Vivek	
1.0	16-Sep-19	Karthik N	Phani Krishna	Vivek S	Baselined	
1.1	11-May-20	Karthik N	Balu Nair		Review	1. Format change 2. Tool based Integration added
2.0	14-May-20	Karthik N	Balu Nair	Phani Krishna	For Approval	Approved and Baseline
2.1	25-Jan-21	Karthik N	Phani Krishna		For Review	Updated the section 3, 4. Updated the information classification.

3.0	25-Jan-21	Karthik N	Phani Krishna	Phani Krishna	For Approval	Approved and Baseline
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5.0	18-03-22	Sanjana	Karthik N	Sivaramakrishnan N	For Approval	Approved and Baseline
5.1	21-Apr-23	Sanjana, Pallavi Chakrabarty	Karthik N		For Review	New template change
6.0	12-May-23	Sanjana	Karthik N	Srikanth M	For Approval	Approved and Baseline
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7.1	16-Apr-2025	Vijaya	Pranesh & Chaitanya		For Review	Periodicity for exceptions added
7.2	5-May-2025	Vijaya	Balu		For review	Migrated to new template,
8.0	15-May-2025	Vijaya	Balu		For Approval	Approved and Baseline



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Thank You

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