

NYDFS Part 500 evidence preparation

Start with the covered entity, review period, exemption analysis and accountable officers. This worksheet organizes technical records for a professional review. It does not decide applicability, certify compliance or replace an independent audit.

Scope first. Part 500 distinguishes covered entities, exemptions and Class A requirements. Where section 500.5 applies, it includes at least annual internal and external penetration testing by a qualified party. Class A independent-audit requirements are a separate question. Confirm scope with the responsible compliance team.

Review period: _____ Responsible role: _____

Item	Records and next decisions	Working status
DFS-01	Entity and applicability decision Record the legal entity, DFS authorization, scope period, exemption basis and reviewer. Next: Resolve uncertain applicability before treating any control as required or excluded. Source: DFS1; DFS2 500.1, 500.19	☐ Unknown ☐ Gathered ☐ Review ☐ N/A*
DFS-02	Risk-to-control decisions Gather the approved assessment method, material risks and dated treatment decisions. Next: Ask which controls and accepted exceptions follow from each material business risk. Source: DFS3	☐ Unknown ☐ Gathered ☐ Review ☐ N/A*
DFS-03	Population reconciliation Compare the system inventory with identity, endpoint, cloud and third-party records. Next: List unresolved population differences before selecting a test sample. Source: DFS3	☐ Unknown ☐ Gathered ☐ Review ☐ N/A*
DFS-04	Testing scope and authorization Gather internal/external test scope, exclusions, permission and dated results. Next: Confirm qualified testers, business constraints and the applicable review cadence. Source: DFS2 500.5	☐ Unknown ☐ Gathered ☐ Review ☐ N/A*
DFS-05	Vulnerability closure trail Collect coverage, findings, owners, exceptions, remediation tickets and retest records. Next: Link each closed issue to evidence that addresses the original weakness. Source: DFS2 500.5	☐ Unknown ☐ Gathered ☐ Review ☐ N/A*

Statuses are self-reported and unverified. Gathered means a record was located, not that a control passed. *Document the basis for any not-applicable choice in the editable CSV.

CONTINUE / EVIDENCE AND OPEN DECISIONS

Item	Records and next decisions	Working status
DFS-06	Identity and access evidence Request access-review records, privileged-account scope, MFA settings and exceptions. Next: Document what the records show during the review period, rather than relying on policy alone. Source: DFS2 500.7, 500.12	☐ Unknown ☐ Gathered ☐ Review ☐ N/A*
DFS-07	Logging and retention reach Gather source inventory, retention settings and representative event records. Next: Document missing periods and sources; an absent log is not proof that nothing happened. Source: DFS2 500.6; DFS3	☐ Unknown ☐ Gathered ☐ Review ☐ N/A*
DFS-08	Response and restoration record Gather exercise records, response decisions, restoration tests and corrective actions. Next: Confirm who determines any incident reporting and who authorizes recovery. Source: DFS2 500.16, 500.17	☐ Unknown ☐ Gathered ☐ Review ☐ N/A*
DFS-09	Governance and independent review Request board/CISO materials and the documented Class A/independent-audit decision. Next: Keep technical testing separate from the independence and coverage of an audit. Source: DFS2 500.2(c), 500.4	☐ Unknown ☐ Gathered ☐ Review ☐ N/A*
DFS-10	Evidence handoff and open decisions Prepare a record index with owner, date, source, limitation and unresolved issue. Next: Accountable officers and counsel review any filing; this worksheet is not a certification. Source: DFS1; DFS3	☐ Unknown ☐ Gathered ☐ Review ☐ N/A*

Finish the preparation record

In the companion CSV, record an owner, evidence reference and open question for each item. Keep actual files in your approved repository. Ask the responsible technical, compliance and legal teams to resolve scope, phase-in dates and signatory authority. This worksheet performs no audit, scan, filing or legal determination.

Official sources

DFS1 - [NYDFS Cybersecurity Resource Center](#)

DFS2 - [DFS Second Amendment to Part 500, department reading copy](#)

DFS3 - [DFS risk-assessment guidance, September 10, 2026](#)

Discuss technical scope: newyorkcomputerforensics.com/contact/ | 212-561-5860. Do not send operational records or evidence through the public form.