Policy Exception and Review Record

Prepare and revisit a specific policy exception without treating a pending request as approval.

How to use these four pages

1. Identify the policy requirement, service and proposed departure.

2. Explain the exposure, interim measures and authorised decision-maker.

3. Record the actual decision, conditions, expiry and earlier triggers.

4. Check the outcome, retain evidence and record closure or a further decision.

A practical working aid

Use the blank records for your own discussion. Examples are fictional, not client case studies. Print to complete by hand or adapt the prompts in your own document; this PDF is not a fillable form.

Keep completed records confidential. Use references to protected evidence rather than passwords, customer records or sensitive system details.

Online instructions and companion article

Read the guide

Read the article

Source guidance

NIST Cybersecurity Framework (CSF) 2.0

Resource content reviewed 19 November 2026. The source material informs the approach; no endorsement is implied. This worksheet supports planning and record-keeping. It does not authorise testing, certify compliance or replace an agreed specialist review.

Free to use and adapt within your business with the GRCPreneur acknowledgement retained.

A fictional worked example

Illustrative entries only. No real client, vendor result or completed implementation is claimed.

Record	Illustrative entry
Requirement	A fictional firm's approved access requirement for one service.
Constraint	A legacy service cannot meet it during a proposed transition.
Request	A time-bounded departure with interim measures is proposed.
Authority	The authorised owner reviews the current evidence and exposure.
Review event	The replacement is delayed as the exception review date approaches.
Outcome	A further decision is required; renewal or approval is not assumed.

Before using the blank pages

Agree who will review the record and what decision it supports. Mark assumptions, proposed actions and unverified claims clearly. Copy pages 3 and 4 when you need more space.

Your working record

Project / record ID: _____ Date: _____

Requirement, version and scope

Name the specific policy rule, activity and proposed departure.

Reason, exposure and interim measures

Describe the constraint, business consequence, safeguards and limits.

Authority and actual decision

Pending, approved, declined or revised; record who decides and when.

Conditions, expiry and escalation

Time limit, earlier review triggers, action owners and escalation route.

Review evidence and closure

What changed? What was checked? Record remaining exposure and next decision.

Use protected evidence references. Do not enter credentials or confidential customer details.

Exception conditions and review

Related record / requirement: _____ Review date: _____

Condition / action	Evidence / remaining issue	Owner / due date	Review / decision

Review before the next decision

- The departure is specific and has an authorised owner.
- External obligations are not assumed to be waived.
- Pending requests and actual approvals are clearly distinguished.
- Expiry, follow-up and evidence of closure are recorded.

Decision, authority and next checkpoint

Proceed / revise / defer / stop. State the decision scope, conditions, approver and date.

A completed record documents a review. Approval applies only to the stated scope and does not establish that untested work has succeeded.