

Exception & Risk Acceptance Form

Version: 1.0

Status: Controlled Document

Applies to: All systems, applications, cloud services, and operational processes

Last Updated: (Insert Date)

1. Request Information

Request Title:

(Describe the exception or risk acceptance requested)

Request Type:

- ☐ Patch Exception
- ☐ Vulnerability Exception
- ☐ Configuration Exception
- ☐ Compliance Exception
- ☐ Other (Specify): _____

Requested By:

Name / Department

Date Submitted:

(Insert Date)

Business Owner:

(Name and Department)

System/Application Affected:

(Provide details of system, asset ID, or environment)

2. Description of the Exception

Provide a clear explanation of what requirement cannot be met, why the exception is being requested, and the operational/security context.

3. Reason for Exception

Explain why the issue cannot be remediated within the required timelines or policy expectations.

Common reasons:

- Operational dependency
 - Vendor awaiting patch/fix
 - Legacy system awaiting retirement
 - Application incompatibility
 - Resource constraints
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4. Risk Assessment

Risk Area	Risk Level (Low/Med/High)	Notes
Exploitability		
Business Impact		
Data Sensitivity		
External Exposure		
Likelihood of Attack		
Compensating Controls Effective? Yes / No		Details: _____

5. Compensating Controls

Describe additional safeguards to reduce risk, such as:

- Increased monitoring
- Network isolation
- Access restrictions
- Temporary configuration changes
- Stronger authentication
- Logging enhancements

If no compensating controls exist, explain why.

6. Duration of Exception

Start Date:

(Insert Date)

Expiry Date:

(Must include review cycle — e.g., 30, 60, 90 days)

Review Frequency:

- ☐ Weekly
 - ☐ Monthly
 - ☐ Quarterly
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7. Residual Risk Explanation

Describe the risk that will continue to exist if the exception is approved.
Explain how it may affect confidentiality, integrity, or availability.

8. Approval Workflow

8.1 Required Approvals

Role	Name	Signature	Date
Requestor			
IT/Security Lead			
Business Owner			
Senior Management / DPO			

8.2 Final Decision

- ☐ Approved
- ☐ Approved with Conditions
- ☐ Rejected

Approval Notes:

(Insert final comments or conditions)

9. Follow-Up & Monitoring

- ☐ Exception added to Risk Register
 - ☐ Monitoring controls implemented
 - ☐ Next review date logged
 - ☐ Assigned owner notified
 - ☐ Exception flagged for renewal before expiry
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10. Closure

Closure Date:

(Insert Date)

Closure Notes:

Summarise remediation or reason for closure.

11. Document Control

Version	Date	Author	Changes
1.0	(Insert Date)	(Insert Name)	Initial Release