Instructions for submitting Policy Exception Form

1. Access Policy Exception Form here:
2. Enter all signing authority's information
3. Starting with Initiators Information – this will be whomever is completing the form. *Note*: after the initiator receives the link, they will be able to enter the details of the Policy Exception Form

Initiator

Name *

Email *

4. Signatures for CBA/DBA will follow – CBA/DBA will review the information for accuracy.

College/Division Business Administrator

Name *

Email *

5. Signature for Associate VP Business Operations will follow – AVP will review the request, assign a control number, provide recommendation.

AVP Business Operations

Name *

Email *

6. Remaining signatures will follow – Department Head/Chair, Dean/Unit Leader, Division Vice President

Department Head/Chair

Name *

[icon]

Email *

Dean/Unit Leader

Name *

[icon]

Email *

Division Vice-President

Name *

[icon]

Email *

7. Signature for Vice President of Administration and Finance will follow – VP of A&F has the final authority to approve policy exception requests

VP Admin & Finance

Name *

[icon]

Email *

8. Information for Business Operations will auto populate

Business Operations

Name *

Business Operations

Email *

AVPBusOps@uhcl.edu

9. Initiate form by clicking on Begin Signing

BEGIN SIGNING

10. Initiator fills out all blanks and department information – NOTE: Attachments are *required*
    Please make sure to include the policy clause that needs exception and as much detail as possible to describe the policy exception requested in the boxes provided.

To:	Deepu Kurian, Associate VP - Business Operations		Date:	
From:				
	Employee Name & Title Daniela Valenzuela	Department	College/ Division	
Subject:	Request for Exception to			

UH System SAM or UHCL MAP Number and Name

Exception Type: Select one or more that describes the type of non-compliance

☐	Procurement Process	☐	Contracting Process	☐	HR / Payroll Process
☐	Travel Related	☐	Non-Travel Reimbursement	☐	T / P Card Related
☐	Prompt Payment	☐	Prior Approval	☐	Late Submittals
☐	Other (Describe):				

Details:			
	Vendor / Employee Name	Document (If applicable)	Amount (If any)

An exception is requested: Iterate the policy clause (Section and Paragraph) that needs exception   **Attachment**

↓
📎

Requested Action (Describe why the policy exception is needed? Eg: Pay the vendor)

Reason for Non -Compliance (Describe the cause for policy violation)

Corrective actions to ensure compliance in the future (Explain in detail)

☐	Process Modification	☐	Employee Training	☐	Develop procedures
☐	Progressive Discipline	☐	Vendor Communication	☐	Other

11. DBA/CBA will review the information for accuracy and print and sign name

College / Division Administrator Review: _____

                                              Name   **Signature**

12. AVP will sign with their approval, assign a control number and add any comments if desired

POLICY EXCEPTION MEMORANDUM www.docusign.com

For Associate Vice President - Business Operations Use only
I have reviewed this request and concluded the following based on my understanding and the facts presented:
☐   A policy exception request is required for the action requested
☐   Granting an exception to this policy will not violate any known state or federal rules or regulations
Comments: _____

_____   _____

            Signature   Date

13. The remaining approval signatures will follow. Under Approved the designated person may write "Y" for Yes or "N" No. Approvers may add comments in the comment box.

Policy Exception Request Review and Approval Signatures

Title	Approved	Signature	Date	Comments regarding approval / disapproval
Department Head / Chair				
Dean / Unit Leader				
Division Vice President				
Vice President - Admin & Finance				

14. The final and completed copy automatically will be sent to AVP Business Operations mailbox.
15. When finished, click on Finished button at the bottom of the screen

FINISH