

POLICY EXCEPTION MEMORANDUM

To: Deepu Kurian, Associate VP - Business Operations **Date:** _____

From: _____

Employee Name & Title 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

<input type="checkbox"/>	Procurement Process	<input type="checkbox"/>	Contracting Process	<input type="checkbox"/>	HR / Payroll Process
<input type="checkbox"/>	Travel Related	<input type="checkbox"/>	Non-Travel Reimbursement	<input type="checkbox"/>	T / P Card Related
<input type="checkbox"/>	Prompt Payment	<input type="checkbox"/>	Prior Approval	<input type="checkbox"/>	Late Submittals
<input type="checkbox"/>	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

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)

<input type="checkbox"/>	Process Modification	<input type="checkbox"/>	Employee Training	<input type="checkbox"/>	Develop procedures
<input type="checkbox"/>	Progressive Discipline	<input type="checkbox"/>	Vendor Communication	<input type="checkbox"/>	Other

College / Division Administrator Review: _____

Name

Signature

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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

Policy Exception Request Review and Approval Signatures

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

Comments regarding approval / disapproval

Instructions

1. Originator completes page 1 to its entirety and submits the memorandum to College / Division Business Administrator with supporting documentation.
2. College / Division Administrator reviews the information for accuracy and indicates review by affixing their signature.
3. The reviewed form along with documentation should be forwarded to Associate VP - Business Operations who will review the request, assign a control number, provide recommendation and returns the form to the originator with a copy to CDA.
4. College / Division / Department routes the form and backup documentation for approval signatures.
5. Any approver may approve or deny the exception requests; the VP for Administration and Finance have the final authority to approve policy exception requests.
6. The Office of the VP for Administration & Finance will submit the completed form to the originator and AVP Business Operations office.
7. The originator / department will include approved exception requests as backup documentation for any affected transactions.