University of Houston — Clear Lake
Business Operations

Memorandum

Date: _____

To: Dr. Deepu Kurian - AVP - Business Ops

From: _____

                               Department   College/Division

Subject: Request for Exception to: _____

                                           SAM or MAP Number and Name

---

Exception Type-Check one or more of the following that best describes the type of non-compliance:

__ Contracting process   __ Procurement process   __ HR/Payroll process   __ Moving expense   __ Travel reimbursement/payment

__ Non-Travel reimbursement/payment   __ Late submittal of travel receipts   __ Late submittal of Non-travel receipts

__ Other (describe): _____

_____ $_____

Vendor/Employee Name   **Document # (if applicable)**   **Amount Involved (if any)**

1.   **An exception is requested for the following policy:** (Type the policy number and paragraph, and describe the policy.)

   If late receipts submittal: Date of oldest receipt submitted or last date of travel: _____ Date receipts submitted to the Business office: _____

```



```

2. **The following action is requested (e.g., approval to pay vendor/employee):**

```


```

3. **The policy was not adhered to or consideration is requested because: (Identify the cause of the non-compliance)**

```


```

4. **Explain how the employee or department will avoid such exceptions in the future. Check one or more of the following and then further explain in the space below:**

__ Modify Internal Process   __ Provide specific training to employee(s)   __ Create or modify written procedures

__ Take disciplinary action against responsible employee(s)   __ Other (describe) _____

Further Explanation:

```


```

Control Number

Memorandum

<u>Policy Exception Request Review and Approval Signatures</u>

College/DivisionBusinessAdministrator_____

Department Head_____

Dean/Unit Leader_____

Responsible Vice President(orProvost)_____

VP for Administration & Finance_____

Comments regarding Approval/Disapproval:

Instructions:

1. Department completes page 1 of this form and submits to the AVP Business Operations, along with backup documentation (e.g. vouchers, receipts, etc.,).
2. AVP Business Operations assigns the form a request number, which is entered into the footer of the document.
3. AVP Business Operations reviews the request to verify it is required, does not violate known state or federal laws, adds any comments (optional), signs and dates the form, and returns the form to the department.
4. Department routes the form and backup documentation for approval signatures.
5. The VP for Administration & Finance has the final authority to approve policy exception requests. Any approver may enter comments regarding the approval/disapproval (optional)
6. The Office of the VP for Administration & Finance will submit the completed form to the original requesting Department and AVP Business Operations.
7. The requesting Department will include approved exception requests as backup documentation for any affected transactions.

Control Number