Budget and Finance
Policy or Procedure Exception Request Form Instructions

A situation or scenario may arise that does not fall within the standards prescribed in UMB Budget and Finance policies and procedures. The school or department may suggest it is in the best interest of the university, school, or department to deviate from UMB Budget and Finance policies and procedures. An exception request is a review and approval process by appropriate personnel of the proposed exception.

- The Budget and Finance (B&F) Policy or Procedure Exception Request Form includes the information needed to make an informed decision on whether to grant the exception.
- All B&F Policy or Procedure Exception Request Forms are sent to the Controller in Financial Services. The Controller will forward policy exception requests to the Chief Business and Finance Officer for a final decision.

Step 1: Determine if the exception requested is for a policy or procedure.
- A policy exception is requested when a school or department seeks approval for a situation or scenario that does not fall within the standards stated in the UMB B&F Policy.
  
  A policy exception request is approved or denied by the Chief Business and Finance Officer.
- A procedure exception is requested when a school or department seeks approval for a situation or scenario that deviates from the procedures prescribed in the B&F Procedure document.
  
  A procedure exception request is approved or denied by the Controller in Financial Services.

Step 2: Complete all areas of the B&F Policy or Procedure Exception Request Form in detail. Include attachments if additional space is needed.

Step 3: The authorized person who signed the form emails the completed form to DL-AFPPException@umaryland.edu

- The Controller or the Associate Director of Financial Services will contact the school or department with the results of the exception request.
- The school or department should not deviate from UMB B&F policies or procedures without an approved exception request.
- It is the school’s or department’s responsibility to submit requests in advance to allow sufficient time for the approval process.
- Schools and departments are required to retain copies of exception requests, along with any supporting documentation for specific transactions, when appropriate.