

Financial Services Policy or Procedure Exception Request Form

Requestor Name:		Requestor Title: Must be Dept. Head/Designee for a Policy Exception Request	
School/Division:		Department Name:	
Email:		Phone:	Date:

I request an exception to:	
Copy and paste the specific policy or procedure statement to which you are requesting an exception. Include a reference to the appropriate section (i.e. section number and title, page number, etc.).	
What exception are you proposing?	
Why is the exception warranted? What compensating controls will you be implementing?	

		Email completed form to:
Authorized Signature Dept. Head/Designee for Procedure Exception Request. Dean/VP/Designee for Policy Exception Request	Printed Name/Title	DL-AFPPEXception@umaryland.edu
<input type="checkbox"/> APPROVED or <input type="checkbox"/> DENIED by:	COMMENTS:	Note: The person whose signature appears in the Authorized Signature field must be the person to email the form.
CBFO/University Controller Signature		
Date		

Financial Services

Policy or Procedure Exception Request Form Instructions

A situation or scenario may arise that does not fall within the standards prescribed in UMB Financial Services (FS) 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 FS policies and procedures. An exception request is a review and approval process by appropriate personnel of the proposed exception.

- The Financial Services Policy or Procedure Exception Request Form includes the information needed to make an informed decision on whether to grant the exception.
- All Financial Services Policy or Procedure Exception Request Forms are sent to the University Controller. The University 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 FS Policy. The form must be signed by the Dean/Designee or VP/Designee.

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 FS Procedure document. The form must be signed by the Department Head/Designee.

A procedure exception request is approved or denied by the University Controller.

Step 2: Complete all areas of the FS Policy or Procedure Exception Request Form in detail. If additional space is needed, please insert "See attached" in the form and attach a Word or PDF file.

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

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- The University Controller or the Deputy Controller will contact the school or department with the results of the exception request.
 - The school or department should not deviate from UMB FS 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.