ASC Policy Exception Approval Process

As a major public institution, The Ohio State University is held to a high level of accountability for its business practices. Numerous constituencies (including students, taxpayers, alumni, the State of Ohio and the federal government) have an interest in how the university spends its money. Accordingly, every reasonable effort must be made to ensure that funds are used in a responsible and appropriate manner.

These rules and restrictions apply to:

1. All types of university funds (general funds, earnings operations, OSU Health System funds, restricted funds, sponsored projects administered by the OSU Research Foundation, agency funds, discretionary funds).
2. All colleges and vice presidential areas.
3. All payment methods, including university procurement cards, travel-related payments, purchase orders, internal orders (e-Requests), PREP system (non-PO voucher) transactions and any other payment mechanism.

Exceptions

A. The dollar limits set forth are not "entitlements"; rather, they are maximum limits.
B. Deans and vice presidents have the authority to approve, on an occasional, non- recurring basis, university expenditure policy exceptions. Some examples include:
     1. Exceptions to the dollar limits on alcohol purchases
     2. Exceptions to the dollar limits on business meals
     3. Exceptions to the requirement to obtain original, itemized receipts
C. All exceptions must be documented and maintained in a log which includes the purpose and rationale for granting the exception. These logs will be maintained by the College and are subject to review by Internal Audit.

Process for Exception Review and Approval

When a policy exception is identified; departments and centers will complete and attach the ASC Policy Exception Approval Request to the related procurement action (e-Request for purchase requests and e-Travel for travel reimbursement). The Business Services Center Associates will then review and be responsible for notifying the College delegated Fiscal Officer for each division of the Exception Request. The delegated Fiscal Officer will then inform the unit of the disposition status of the request, should the review yield a denial of the request. Approved requests will proceed with processing by the BSC. Please also see the Exception Process flows for e-Request and e-Travel on the BSC website.

When an exception request is submitted to the college for approval, the following levels of action may be taken in response to the individual causing the exception:

1st occurrence: Policy Guidelines will be distributed for review.

2nd occurrence: A warning will be issued.
    o "This is the second request for exception you have submitted in XX area within the past 12 months. Attached for your review are the policy guidelines that you received on XX. Please contact your college fiscal officer or XX if you have any questions about the procedures for XX area. For additional training, a link to the Carmen trainings is: XX.
    o Further exceptions in XX area will result in mandatory training and supervisor contact.

THE OHIO STATE UNIVERSITY

3rd occurrence: Completion of remedial training will be required. The supervisor will be contacted.

- o "This is the third request for exception you have submitted in XX area within the past 12 months. As a result, remedial training is now required and must be completed within one week from the date of this memo. Once completed, please forward your "*completion certificate*" to XX attention. Your supervisor has been cc'd on this notification and may require additional steps to resolve this issue. Further exceptions in XX area may result in the removal of system access.

4th occurrence: System access is removed. The resulting change in process must be managed within the departmental unit or center.

5th occurrence: Disciplinary action may be pursued.

ASC eRequest Exception Process

THE OHIO STATE UNIVERSITY
COLLEGE OF ARTS AND SCIENCES

Exception?

College Exception Approvers

Arts & Humanities: Jennifer Leung
ASC Executive: Jennifer Leung
NMS and SBS: Tiffany Garner

Yes

The Department will attach the completed Policy Exception Approval request form to the PR#. The BSC Associate will contact the appropriate College Exception Approver.

Approved

The College Exception Approver will add an approval comment to the PR#, and will contact the BSC for further processing.

Denied

The College Exception Approver will deny the PR# with comments and alert the Department.

Common eRequest Exceptions

After the Fact (ATF) P.O.: Purchase order was not requested before service.

Non-Key Contract Used: Staples vs. OfficeMax, FedEx outgoing vs. UPS, non-Coke products, etc. Refer to list of Key Contracts.

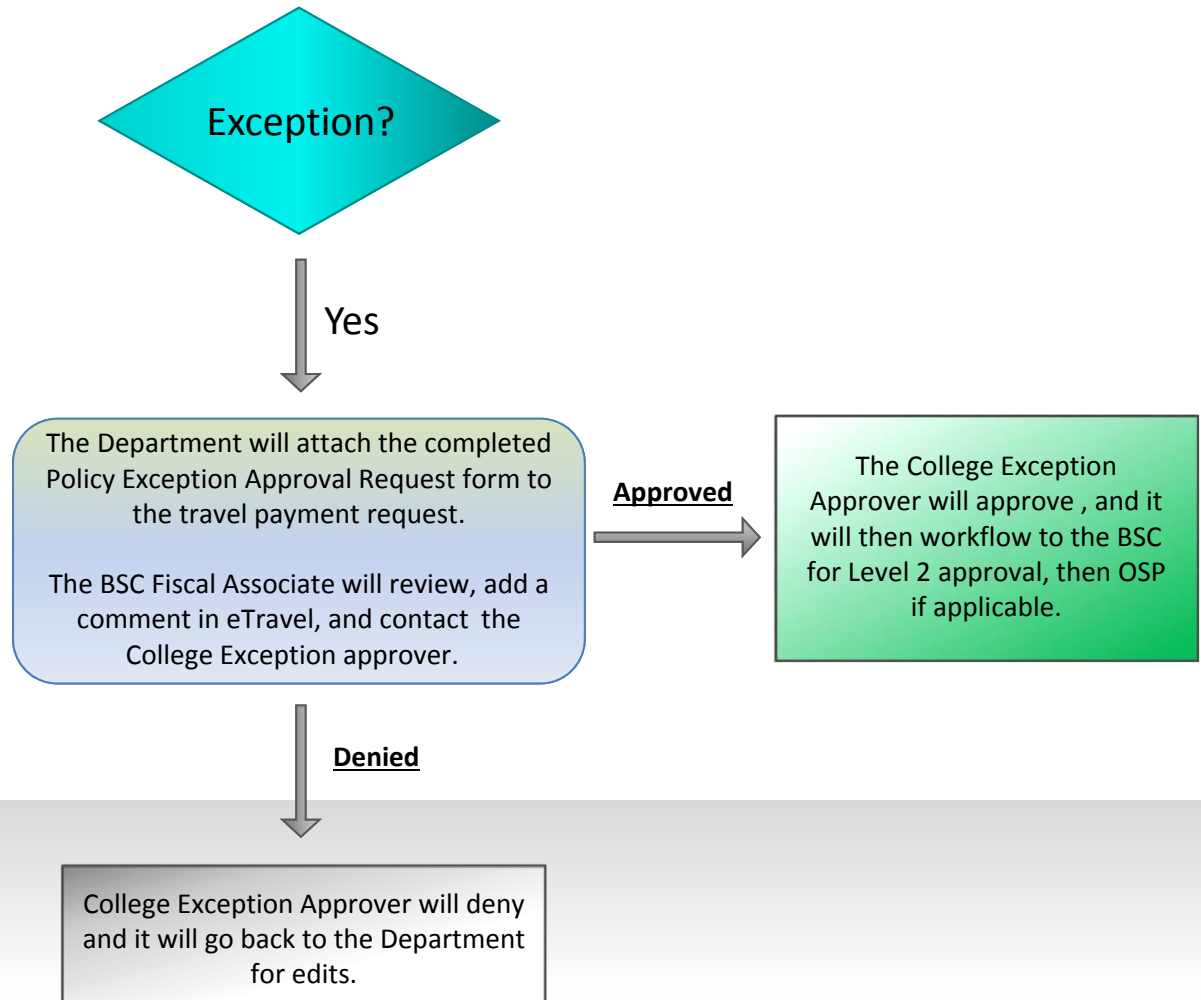Tax: Tax was charged on PCard and was not recovered or paid back regardless of amount.

* Please see the Business Services section on the Administrative Gateway for ASC Policy Guidelines:

ASC Travel Exception Process

Updated 11/3/2016

THE OHIO STATE UNIVERSITY
COLLEGE OF ARTS AND SCIENCES

Exception?

College Exception Approvers

Arts & Humanities: Jennifer Leung
ASC Executive: Jennifer Leung
NMS and SBS: Tiffany Garner

Yes

The Department will attach the completed Policy Exception Approval Request form to the travel payment request.

The BSC Fiscal Associate will review, add a comment in eTravel, and contact the College Exception approver.

Approved

The College Exception Approver will approve , and it will then workflow to the BSC for Level 2 approval, then OSP if applicable.

Denied

College Exception Approver will deny and it will go back to the Department for edits.

Common College Exceptions

After the Fact (ATF): No funding approval prior to the start of travel by the appropriate level.

Rental Car Insurance: No CDW/LDW/liability insurance was purchased.

Over 90 Days: Travel reimbursement was not submitted within the 90 days by the traveler.

* Please see the Business Services section on the Administrative Gateway for ASC Policy Guidelines: