

COLLEGE OF AGRICULTURE, FOOD & ENVIRONMENT **GUIDELINES FOR BUSINESS PROCEDURES EXCEPTION FORMS**

The [Request for Exception to Business Procedures Form](#) is required when requesting an exception to University internal policy and or procedure **excluding the special exception items noted at the bottom**. CAFE employees should follow the CAFE Business Center guidelines below when submitting requests for an exception to business procedures:

Completing the form

1. Complete all information requested on the BPE form, checking any/all reasons for the request.
2. Provide justification for the requested exception (be specific as to which policy for which the exception is being submitted, why the policy was not/cannot be followed, and why the exception request should be granted).
3. In the justification block, **you must include steps that your department is taking to prevent a recurrence of this same issue.**
4. Travel related requests must include employee name, ID, requested amount, the TRIP number, the signature of the traveler, and the department head's signature.
5. **Contact information should be the departmental business officer**, but the contact person does not need to sign the form.
6. **Please leave the "Business Officer" signature line blank.** That is to be signed by the Business Center.
7. **Department head approval is required.** There is no specific signature line for the chair or director's signature, however, please have your department head sign next to the traveler signature or in any blank area of the form.
8. Please submit BPE **one-sided and unstapled.**
9. Attach documentation to the BPE form (unless you provide the TRIP #) before submitting to the CAFE Business Center. Departmental business staff will be notified of the approval. Once the BPE is approved by the University Financial Services (UFS) office, a copy of that approval should be attached to the travel expense report in the TRIP system as an attachment and then submitted through the TRIP workflow.

Routing the form

1. Exception forms and supporting justification should be routed through the **CAFE Business Center**.
2. The Business Center will obtain appropriate college level signatures and the forms will be routed electronically to the University Financial Services (UFS) office for final approval.
3. UFS will notify the business center of the decision on each request, and that will be relayed by the business center to the departmental contact person listed on the form.

NOTE: The above procedural guidelines are for all business procedures exceptions EXCEPT for those relating to travel submission over 60 days and those related to retroactive payroll adjustments. The guidelines for those two types of exceptions are on the following page.

[Request for Exemption from Taxation Form](#)

Per BPM E-5-1, section II.B.3, this form should be completed when submitting a travel reimbursement request over 60 days after the return date of the trip. It should be completed and signed by the traveler only. Then please forward the form to the Business Center. The unit's business analyst will review and sign as the "Business Officer". The form will then be returned to the department to be attached directly to the employee's travel expense report in the TRIP workflow.

**Note – If for some reason the request for exemption is denied, the amount of the reimbursement will not be reduced however, the amount will be reported on the W-2 for the traveler as taxable income for the corresponding year.*

[Retroactive Payroll Adjustment Request](#)

Per BPM E-8-2, this form should be submitted when requesting an exception to make a retroactive payroll adjustment older than the earliest retro date on the payroll schedule. An adjustment would indicate a change in pay, benefits and/or taxes. The form should be completed and signed by the departmental HR staff person as well as the department head (or designee). Then please forward the form to the Business Center for review, approval and processing. To request a payroll retroactive adjustment for periods prior to the current ERD to correct cost allocations or distributions between cost centers and grants, please refer to BPM E-4 Journal Voucher section IV.B.4.

Exceptions to the Cost Transfer Policy (Sponsored Research Grants)

Journal Vouchers on sponsored research projects that are outside the Cost Transfers Policy (>90 days for DHHS funded projects CFDA 93.XXX or >120 days for all others) are considered exception items. When submitting these JVs the document should include PI, Chair/Director, Dean/VPR/Provost signatures and exception request memo addressed to the Director of Research Financial Services, in addition to the JV Explanation Form. The memo should include any extenuating circumstances that led to the delay in submitting the JV, and specific details of the corrective action plan for the department to prevent a similar occurrence in the future.

***Please note for any exception request that includes an electronic signature, the signature must also include the electronic system time and date stamp of the individual signing the document to verify the authenticity. <https://www.uky.edu/ufs/sites/www.uky.edu/ufs/files/bpm/Q-1-6.pdf> ***