



**NORTHERN ARIZONA
UNIVERSITY™**

EXCEPTION TO POLICY REQUEST (ETPR)

User Guide

JUNE 22, 2017

NORTHERN ARIZONA UNIVERSITY
Comptroller's Office (CMP)
Created by Sharon D Jackson

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A. Faculty and Staff Reimbursement Accountable Plan Policy

- 1) Click [Accountable Plan](#) to view policy.

B. Use of the CMP Exception To Policy Request Form

- 1) The CMP Exception to Policy Request Form is used for a Reimbursement Exception Request or an Exception to NAU Comptroller's Policy and Procedures Request.
- 2) Complete the form as a Reimbursement Exception Request (RER) for an exception to the Accountable Plan policy to allow a reimbursement to be processed. You will need to include Department information, who needs the exception, why the exception is needed, the amount and any supporting documentation.
- 3) Complete the form as an Exception to Policy Request (ETPR) for an exception to a NAU Comptroller's or Travel Policy and Procedures. You will need to include Department information, Policy or Procedure that the exception is requested for, exception detail, speedchart(s) for the department and unit affected by the exception to policy and the designated Exception to Policy Signer. When completing the form for this section, there must be an original approved Exception to Policy Signer Authorization Form on file with the Comptroller – Financial Controls Office. A copy of the approved form must be filed with the applicable Department/Unit. There are (2) types of Exception to Policy Request:
 - i. Blanket – This exception occurs frequently within an operating unit. It is valid from the date specified until the end of the current fiscal period.
 - ii. One-Time – This exception occurs one-time within an operating unit. It is valid from the specific effective date until the end date within the current fiscal period..
- 4) The form will be completed and submitted by a Requestor.
- 5) Once the form is submitted, you will be routed to a submission confirmation page and received an email notification.
- 6) A Comptroller's (CMP) approver will process the submitted request.
- 7) **Note:** As you go through this User Guide, if you hover over a Title, you will get a hand icon showing it has a hyperlink. If you click on the Title to take you to the hyperlink in the manual. When you're on a Title in the manual, if you click on the Title it will take you back to the Table of Content.

C. Access the CMP Exception To Policy Request Form

- 1) Click on the [Exception to Policy Form](#) link on the Comptroller's page to open the form.
- 2) You will have to type in your NAU CAS credentials.



The image shows a screenshot of the Northern Arizona University login interface. At the top, the text "NORTHERN ARIZONA UNIVERSITY" is displayed in blue, with the university's shield logo below it. The shield features a stylized tree in green and white. Below the logo are two input fields: the first contains the username "sjw2" and the second contains a password represented by ten dots. A blue "SIGN IN" button is positioned below the password field. Underneath the button are two links: "Forgot your password?" and "Need Help?", both underlined.

- 3) You can tab through the form as you are completing it.
- 4) All fields with the * are required and must be populated as below.

Requestor Name (Last,First) *

D. Complete the CMP Exception To Policy Request Form as a Reimbursement Exception Request

- 1) Select **Reimbursement Exception Request** from the Exception To Policy Type drop-down list.

NORTHERN ARIZONA UNIVERSITY

Exception To Policy Request

Complete this form to obtain the Comptroller's approval for one of the following: (1) Reimbursement Exception Request OR (2) Exception to NAU Comptroller's Policy and Procedures. You can verify designated Exception to Policy Authorized Signer(s) for speedcharts at NAU Travel Exceptions to Signer "Lookup" on the Comptroller's page. (See User's Guide for details)

Date Requested: 06/30/2017
 Exception To Policy Type*: Reimbursement Exception Request

Exception To Policy Type*

- Blanket
- One-Time
- Reimbursement Exception Request

REQUESTOR

The Requestor Name and ID will auto-populate if entered correctly.

Requestor Name (Last,First)*: _____ Requestor ID*: _____

- 2) Enter the Requestor ID or the Requestor Name. (See Steps 3 and 4)
- 3) Enter the **Requestor ID**. Tab out and the Requestor Name will automatically populate.

REQUESTOR

The Requestor Name and ID will auto-populate if entered correctly.

Requestor Name (Last,First)*: _____ Requestor ID*: 555555

- 4) Enter the **Requestor Name**. Type in the Requestor Last Name followed by a "," and a full First Name or a partial First Name and **TAB** out, (See Figure 1 below). If you type a partial First Name, you will get a "Select Keyset" pop-up which will allow you to select the correct person, (See figure 2 below). If the partial name only matches one person, the Requestor ID will automatically populate.

REQUESTOR

The Requestor Name and ID will auto-populate if entered correctly.

Requestor Name (Last,First)*: NELSON,ERIC J Requestor ID*: _____

Figure 1

Name	ID	Last Name	First Name	Email	Action
NELSON,ANTHONY WIL	9999999	Anthony	Nelson	ANTHONY.NELSON@NAU.EDU	Select
NELSON,CAMERON	9999999	Cameron	Nelson	CN393@NAU.EDU	Select
NELSON,CHANCE BRYCE CARL	9999999	Chance	Nelson	CBN35@NAU.EDU	Select
NELSON,DANIELLE LA TISHA	9999999	Danielle	Nelson	DANIELLE.NELSON@NAU.EDU	Select
NELSON,DOROTHY WU	9999999	Dorothy	Nelson	DOROTHY.NELSON@NAU.EDU	Select
NELSON,DUANE E	9999999	Duane	Nelson	DUANE.NELSON@NAU.EDU	Select
NELSON,ERIC J	5555555	Eric	Nelson	ERIC.NELSON@NAU.EDU	Select
NELSON,FALLON ANNE	9999999	Fallon	Nelson	FAN22@NAU.EDU	Select
NELSON,HOPE MARIE	9999999	Hope	Nelson	HN57@NAU.EDU	Select
NELSON,MANSEL A	9999999	Mansel	Nelson	MANSEL.NELSON@NAU.EDU	Select
NELSON,MARGARET FRANCES	9999999	Margaret	Nelson	MFN7@NAU.EDU	Select
NELSON,PATRICIA A	9999999	Patricia	Nelson	PATRICIA.NELSON@NAU.EDU	Select
NELSON,WENDY S	9999999	Wendy	Nelson	WENDY.NELSON@NAU.EDU	Select

Cancel

Figure 2

- 5) Click **Select** on the correct name.
- 6) The Requestor ID will auto populate.
- 7) If an incorrect Requestor Name and/or ID is entered, you will get one of the following messages:

Invalid Requestor Name. Do not place a space after the comma or use a period in the name.

Invalid Requestor ID.

Invalid Requestor Name and ID

- 8) Enter the **Expense Report #**, if available.

Expense Report #

- 9) Click the **Reimburse Same as Requestor** checkbox, if the person being reimbursed is the same as the Requestor. This will populate the Reimburse Name and Reimburse ID.

PERSON BEING REIMBURSED

The Reimburse Name and ID will auto-populate if entered correctly.

Reimburse Same as Requestor

- 10) Enter the **Reimburse ID** and Reimburse Name will automatically populate.

PERSON BEING REIMBURSED

The Reimburse Name and ID will auto-populate if entered correctly.

Reimburse Same as Requestor

Reimburse Name (Last,First) *

Reimburse ID *

- 11) Enter the **Reimburse Last Name** followed by a “,” and a full First Name or a partial First Name and **TAB** out (See Figure 3 below). If you type a partial First Name, you will get a “Select Keyset” pop-up which will allow you to select the correct person (Same as above in Figure 2). If the partial name only matches one person, the Reimburse ID will automatically populate.

PERSON BEING REIMBURSED

The Reimburse Name and ID will auto-populate if entered correctly.

Reimburse Same as Requestor

Reimburse Name (Last,First) *

Reimburse ID *

12) If an incorrect Reimbursee Name and/or ID is entered, you will get one of the following messages:

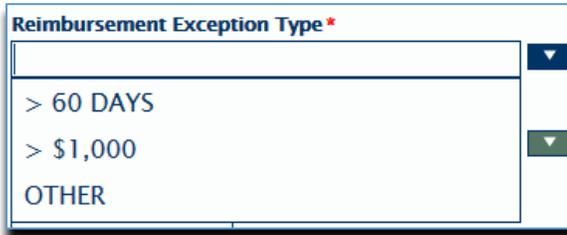
Invalid Requestor Name. Do not place a space after the comma or use a period in the name.

Invalid Requestor ID.

Invalid Requestor Name and ID

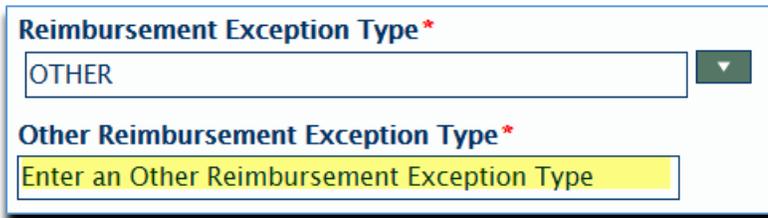
13) Complete the **Reimbursement Details**.

14) Select the **Reimbursement Exception Type** from the drop-down list.



The screenshot shows a dropdown menu titled "Reimbursement Exception Type *". The menu is open, displaying three options: "> 60 DAYS", "> \$1,000", and "OTHER". Each option is preceded by a small downward-pointing triangle icon.

15) If **OTHER** is selected, enter the required details for the Other Reimbursement Exception Type.



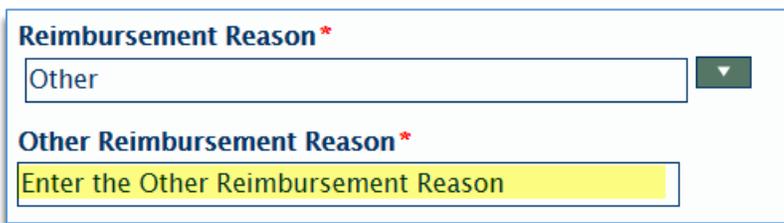
The screenshot shows the "Reimbursement Exception Type *" dropdown menu with "OTHER" selected. Below the dropdown is a text input field with the placeholder text "Enter an Other Reimbursement Exception Type".

16) Select the **Reimbursement Reason** from the drop-down list.



The screenshot shows a dropdown menu titled "Reimbursement Reason *". The menu is open, displaying four options: "Extended Travel", "Lost Receipt", "Other", and "Unaware of Policy". Each option is preceded by a small downward-pointing triangle icon.

17) If **Other** is selected, enter the required details for the Other Reimbursement Reason.



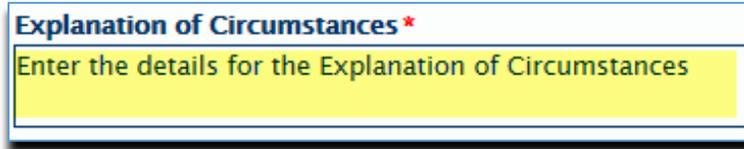
The screenshot shows the "Reimbursement Reason *" dropdown menu with "Other" selected. Below the dropdown is a text input field with the placeholder text "Enter the Other Reimbursement Reason".

18) Enter the **Amount**.



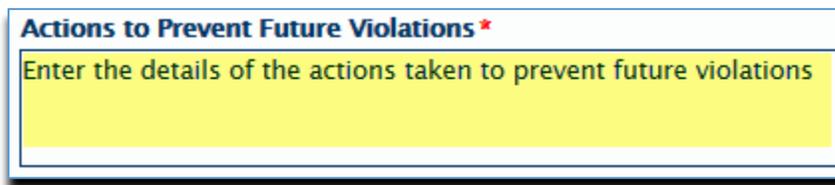
A screenshot of a form field labeled "Amount" with a red asterisk. The input box contains the text "25.00".

19) Enter the **Explanation of Circumstances** details.



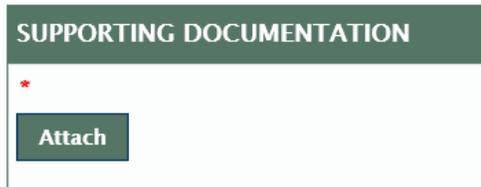
A screenshot of a form field labeled "Explanation of Circumstances" with a red asterisk. The input box contains the text "Enter the details for the Explanation of Circumstances".

20) Enter the **Actions to Prevent Future Violations**. After this information has been entered, the **Submit** button will be enabled.



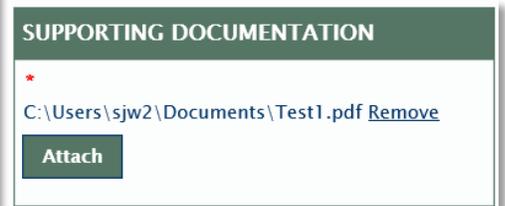
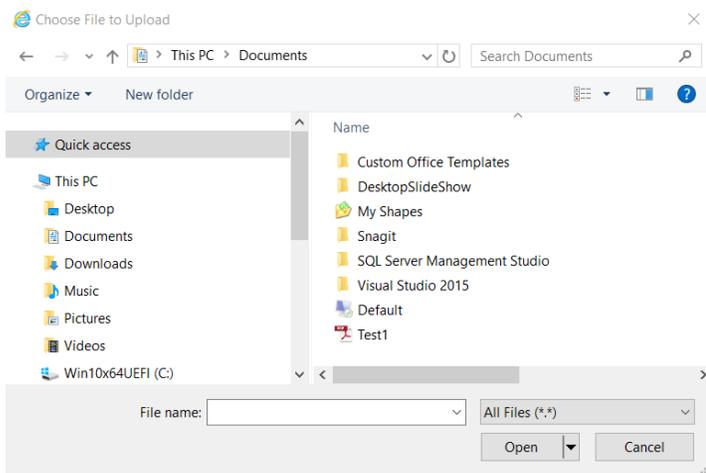
A screenshot of a form field labeled "Actions to Prevent Future Violations" with a red asterisk. The input box contains the text "Enter the details of the actions taken to prevent future violations".

21) Click **Attach** to add any supporting documentation to the form. It will open a window to allow you to choose a file to upload.



A screenshot of a form section titled "SUPPORTING DOCUMENTATION" with a red asterisk. Below the title is a dark green button labeled "Attach".

22) Select the file name and click **Open**. This will place the file to upload on the form. If you need to remove the file, click the **Remove** link.



A screenshot of the "SUPPORTING DOCUMENTATION" section with a red asterisk. Below the title, the text "C:\Users\sjw2\Documents\Test1.pdf" is displayed, followed by a "Remove" link. A dark green button labeled "Attach" is positioned below the text.

23) The **Reimbursement Exception Request form** has been completed.

NORTHERN ARIZONA UNIVERSITY

Exception To Policy Request

Complete this form to obtain the Comptroller's approval for one of the following: (1) Reimbursement Exception Request OR (2) Exception to NAU Comptroller's Policy and Procedures. You can verify designated Exception to Policy Authorized Signer(s) for speedcharts at NAU Travel Exceptions to Signer "Lookup" on the Comptroller's page. (See User's Guide for details)

Date Requested
07/05/2017

Exception To Policy Type*
Reimbursement Exception Request

REQUESTOR

The Requestor Name and ID will auto-populate if entered correctly.

Requestor Name (Last,First)*
NELSON,ERIC J

Requestor ID*
5555555

REIMBURSEMENT

Expense Report #
1234567

Enter the Reimbursee full Last Name followed by a ", " and a full First Name or a partial first name which will give a lookup to select the desired name.

PERSON BEING REIMBURSED	REIMBURSEMENT DETAILS
<p>The Reimbursee Name and ID will auto-populate if entered correctly.</p> <p><input type="checkbox"/> Reimbursee Same as Requestor</p> <p>Reimbursee Name (Last,First)* JACKSON,SHARON DENISE</p> <p>Reimbursee ID* 9999999</p>	<p>Reimbursement Exception Type* OTHER</p> <p>Other Reimbursement Exception Type* Enter an Other Reimbursement Exception Type</p> <p>Reimbursement Reason* Other</p> <p>Other Reimbursement Reason* Enter the Other Reimbursement Reason</p> <p>Amount* 25.00</p> <p>Explanation of Circumstances* Enter the details for the Explanation</p> <p>Actions to Prevent Future Violations* Enter the details of the actions taken to prevent future violations</p>

SUPPORTING DOCUMENTATION

C:\Users\sjw2\Documents\Test1.pdf [Remove](#)

Attach

Submit

24) Click **Submit** to complete the form process.

E. Complete the CMP Exception To Policy Request Form for a Blanket or One-Time Request

- 1) Select **Blanket** or **One-Time** from the Exception To Policy Type drop-down list.

NORTHERN ARIZONA UNIVERSITY

Exception To Policy Request

Complete this form to obtain the Comptroller's approval for one of the following: (1) Reimbursement Exception Request OR (2) Exception to NAU Comptroller's Policy and Procedures. You can verify designated Exception to Policy Authorized Signer(s) for speedcharts at NAU Travel Exceptions to Signer "Lookup" on the Comptroller's page. (See User's Guide for details)

Date Requested **Exception To Policy Type***

Exception To Policy Type*

- Blanket
- One-Time
- Reimbursement Exception Request

NORTHERN ARIZONA UNIVERSITY

Exception To Policy Request

Complete this form to obtain the Comptroller's approval for one of the following: (1) Reimbursement Exception Request OR (2) Exception to NAU Comptroller's Policy and Procedures. You can verify designated Exception to Policy Authorized Signer(s) for speedcharts at NAU Travel Exceptions to Signer "Lookup" on the Comptroller's page. (See User's Guide for details)

Date Requested **Exception To Policy Type*** **Effective Date*** **End Date***

REQUESTOR

The Requestor Name and ID will auto-populate if entered correctly.

Requestor Name (Last,First)* **Requestor ID***

- 2) Enter the **Effective Date** that the exception begins. This date must be greater than or equal to the current date and less than or equal to the end of the current fiscal period.

Date Requested **Exception To Policy Type*** **Effective Date***

- 3) Enter the **End Date** that the exception ends. This date must be greater than or equal to the current date and less than or equal to the end of the current fiscal period.

Date Requested **Exception To Policy Type*** **Effective Date*** **End Date***

- 4) Enter the Requestor ID or Requestor Name. (See Steps 5 and 6)
- 5) Enter the **Requestor ID**. Tab out and the Requestor Name will automatically populate.

REQUESTOR

The Requestor Name and ID will auto-populate if entered correctly.

Requestor Name (Last,First) *

Requestor ID *

- 6) Enter the **Requestor Name**. Type in the Requestor Last Name followed by a “,” and a full First Name or a partial First Name and **TAB** out, (See Figure 1 below). If you type a partial First Name, you will get a “Select Keyset” pop-up which will allow you to select the correct person (See below). If the partial name only matches one person, Requestor ID will automatically populate.

REQUESTOR

The Requestor Name and ID will auto-populate if entered correctly.

Requestor Name (Last,First) *

Requestor ID *

Select Keyset

NELSON,ANTHONY WIL	9999999	Anthony	Nelson	ANTHONY.NELSON@NAU.EDU	Select
NELSON,CAMERON	9999999	Cameron	Nelson	CN393@NAU.EDU	Select
NELSON,CHANCE BRYCE CARL	9999999	Chance	Nelson	CBN35@NAU.EDU	Select
NELSON,DANIELLE LA TISHA	9999999	Danielle	Nelson	DANIELLE.NELSON@NAU.EDU	Select
NELSON,DOROTHY WU	9999999	Dorothy	Nelson	DOROTHY.NELSON@NAU.EDU	Select
NELSON,DUANE E	9999999	Duane	Nelson	DUANE.NELSON@NAU.EDU	Select
NELSON,ERIC J	5555555	Eric	Nelson	ERIC.NELSON@NAU.EDU	Select
NELSON,FALLON ANNE	9999999	Fallon	Nelson	FAN22@NAU.EDU	Select
NELSON,HOPE MARIE	9999999	Hope	Nelson	HN57@NAU.EDU	Select
NELSON,MANSEL A	9999999	Mansel	Nelson	MANSEL.NELSON@NAU.EDU	Select
NELSON,MARGARET FRANCES	9999999	Margaret	Nelson	MFN7@NAU.EDU	Select
NELSON,PATRICIA A	9999999	Patricia	Nelson	PATRICIA.NELSON@NAU.EDU	Select
NELSON,WENDY S	9999999	Wendy	Nelson	WENDY.NELSON@NAU.EDU	Select

Cancel

- 7) Click **Select** on the correct name.
- 8) The Requestor ID will automatically populate.
- 9) If an incorrect Requestor Name and/or ID is entered, you will get one of the following messages:

Invalid Requestor Name. Do not place a space after the comma or use a period in the name.

Invalid Requestor Name and ID

Invalid Requestor ID.

10) Complete the **Exception to Policy** section.

Note: For any speedcharts selected in this section, there must be a designated Exception to Policy Authorized Signers on file with the Comptroller's Office.

EXCEPTION TO POLICY

You can view policies at "<http://nau.edu/Comptroller/Policies-Procedures/>" to copy and paste appropriate information in corresponding Policy Statement.

Must click 'Add' to select Policy Number Reference(s) Add

EXCEPTION DETAIL

Must click 'Add' to select a Speedchart for a Department/Unit Affected By Exception To Policy Add

EXCEPTION TO POLICY SIGNER

11) Click **Add** which will expand the section and allow you to add Policy Number Reference(s). Repeat clicking Add as needed.

Must click 'Add' to select Policy Number Reference(s) Add

POLICY NUMBER REFERENCE(S)

Add

Policy Number *
 Remove

Policy Statement (1)

12) Select the **Policy Number** that you need for the exception from the drop-down list.

13) Type or copy and paste the appropriate policy information in the **Policy Statement** number.

POLICY NUMBER REFERENCE(S)

Add

Policy Number *
 Remove

Policy Statement (1)

14) Repeat Steps 11-13 as needed.

- 15) Complete the **Exception Detail** section.
- 16) Enter the **Business Need or Circumstances** requiring the exception to policy.
- 17) Enter the appropriate **Additional procedures**.

EXCEPTION DETAIL

Business Need / Circumstances Requiring Exception to Policy*

Enter the business need or circumstances requiring exception to policy details

Additional procedures such as prior purchase approvals, reviews, etc. to be undertaken to prevent and detect misuse*

Enter addition procedures details

- 18) Click **Add** to expand the section and allow you to add a speedchart for a Department/Unit affected by the exception to policy.

DEPARTMENT/UNIT AFFECTED BY EXCEPTION TO POLICY Add

Speedchart* ▼ **Department ID** **Department Name** **Fund #** **Branch ID**

Branch Description **Cabinet ID** **Cabinet Description**

Remove

- 19) Select a **Speedchart** which must be in the list from the drop-down list. Once a speedchart is selected, the other fields in the section will automatically populate. The designated Exception to Policy Signer(s) drop-down list will be updated.

DEPARTMENT/UNIT AFFECTED BY EXCEPTION TO POLICY Add

Speedchart* ▼ **Department ID** **Department Name** **Fund #** **Branch ID** **Branch Description**

Cabinet ID **Cabinet Description**

Remove

- 20) Complete the **Exception to Policy Signer** section.

Note: An Exception to Policy Signer must be available in the drop-down list to complete this process.

EXCEPTION TO POLICY SIGNER

An Exception to Policy Signer must be available in the drop-down list for any speedchart selected above. If no Signer is available in the drop-down list, an Exception to Policy Authorization Form must be completed for the Speedchart. The form is located on the NAU Comptroller's Form page.

Exception To Policy Signer* ▼ **Comments** **Date**

Clear **Status**

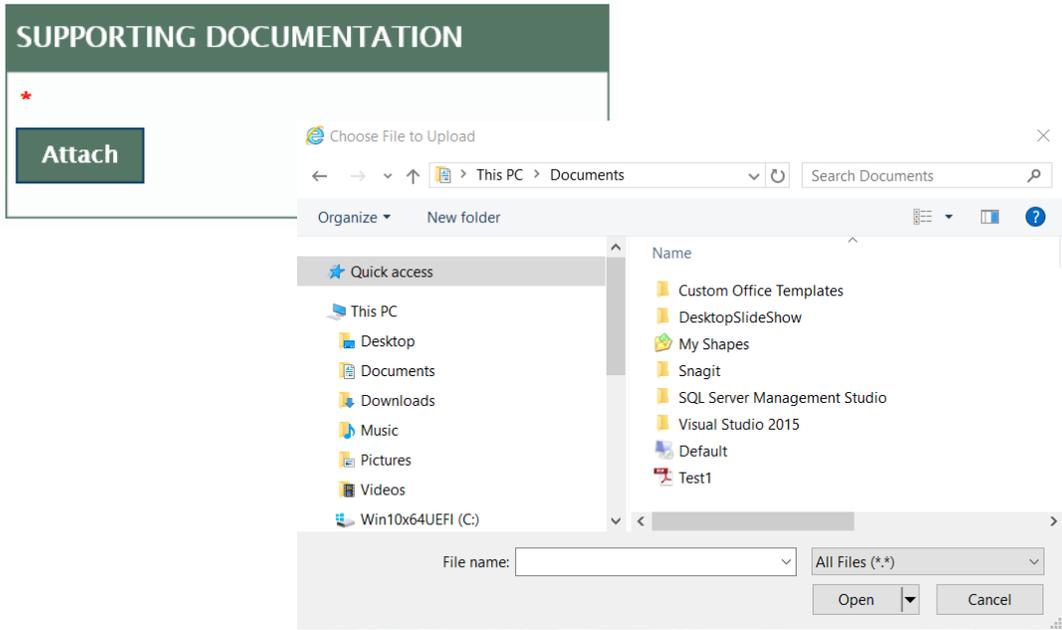
21) Select an **Exception to Policy Signer** from the drop-down list.



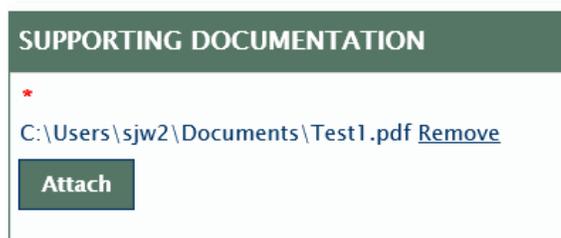
22) After the Exception to Policy Signer has been selected, the fields will be disabled. If you need to change the selection, click **Clear** to enable the Exception to Policy Signer and clear the field. You can reselect a signer from the list.



23) Click **Attach** to add any supporting documentation to the form. It will open a window to allow you to choose a file to upload.



24) Select the file name and click **Open**. This will place the file to upload on the form. If you need to remove the file, click the **Remove** link.



25) The Blanket or One-Time Exception to Policy form has been completed.

NORTHERN ARIZONA UNIVERSITY

Exception To Policy Request

Complete this form to obtain the Comptroller's approval for one of the following: (1) Reimbursement Exception Request OR (2) Exception to NAU Comptroller's Policy and Procedures. You can verify designated Exception to Policy Authorized Signer(s) for speedcharts at NAU Travel Exceptions to Signer "Lookup" on the Comptroller's page. (See User's Guide for details)

Date Requested	Exception To Policy Type*	Effective Date*	End Date*
<input type="text" value="07/05/2017"/>	<input type="text" value="Blanket"/>	<input type="text" value="7/5/2017"/>	<input type="text" value="7/31/2017"/>

REQUESTOR

The Requestor Name and ID will auto-populate if entered correctly.

Requestor Name (Last,First)*	Requestor ID*
<input type="text" value="NELSON,ERIC J"/>	<input type="text" value="555555"/>

EXCEPTION TO POLICY

You can view policies at "http://nau.edu/Comptroller/Policies-Procedures/" to copy and paste appropriate information in corresponding Policy Statement.

POLICY NUMBER REFERENCE(S) Add

Policy Number*	
<input type="text" value="101 - Comptroller's Office Mission and Organization"/>	Remove

EXCEPTION DETAIL

Business Need / Circumstances Requiring Exception to Policy*

Enter the business need or circumstances requiring exception to policy details

Additional procedures such as prior purchase approvals, reviews, etc. to be undertaken to prevent and detect misuse*

Enter addition procedures details

DEPARTMENT/UNIT AFFECTED BY EXCEPTION TO POLICY Add

Speedchart*	Department ID	Department Name	Fund #	Branch ID	Branch Description
<input type="text" value="1000080F11"/>	<input type="text" value="1000080"/>	<input type="text" value="GENERAL ADMINISTRATION"/>	<input type="text" value="1100"/>	<input type="text" value="B115"/>	<input type="text" value="President - Administration"/>
		Cabinet ID	Cabinet Description		
		<input type="text" value="C100"/>	<input type="text" value="President"/>		

EXCEPTION TO POLICY SIGNER

An Exception to Policy Signer must be available in the drop-down list for any speedchart selected above. If no Signer is available in the drop-down list, an Exception to Policy Authorization Form must be completed for the Speedchart. The form is located on the NAU Comptroller's Form page.

Exception To Policy Signer*	Clear	Comments	Date	Status
<input type="text" value="Leuppe,Karen"/>	<input type="button" value="Clear"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

SUPPORTING DOCUMENTATION

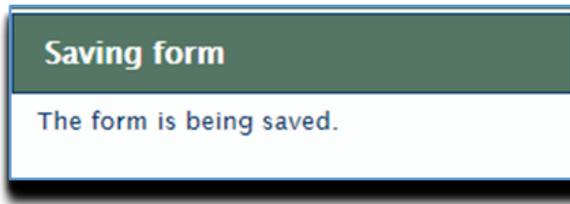
*

C:\Users\sjw2\Documents\Test1.pdf Remove

26) Click **Submit** to complete the form process.

F. Submit the CMP Exception To Policy Request Form

- 1) Click **Submit** to complete the form process. You will receive a message that the form is being saved.



- 2) The form is submitted. You will be routed to the Confirmation Page below.



G. Process Overview – CMP Reimbursement Exception Request Form

- 1) An email notification with a link to the form will be sent to the Requestor that the request has been received. ([See G.1 Notification](#))
- 2) If you click on the link to the form, it will allow you to sign in to OnBase through NAU CAS to see the submitted request form as it is updated.


NORTHERN ARIZONA UNIVERSITY

Exception To Policy Request

Complete this form to obtain the Comptroller's approval for one of the following: (1) Reimbursement Exception Request OR (2) Exception to NAU Comptroller's Policy and Procedures. You can verify designated Exception to Policy Authorized Signer(s) for speedcharts at NAU Travel Exceptions to Signer "Lookup" on the Comptroller's page. (See User's Guide for details)

Date Requested	Exception Request #	Exception To Policy Type*
<input type="text" value="06/29/2017"/>	<input type="text" value="1449"/>	<input type="text" value="Reimbursement Exception Request"/>

REQUESTOR

Requestor Name (Last,First)*	Requestor ID*
<input type="text" value="NELSON,ERIC J"/>	<input type="text" value="5555555"/>
Requestor Department Name	
<input type="text" value="ASSISTANT COMPTROLLER"/>	

REIMBURSEMENT

Expense Report #	
<input type="text" value="123456"/>	

Enter the Reimbursee full Last Name followed by a "," and a full First Name or a partial first name which will give a lookup to select the desired name.

PERSON BEING REIMBURSED	REIMBURSEMENT DETAILS																
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 100%;">Reimbursee Name (Last,First)*</td> </tr> <tr> <td><input type="text" value="JACKSON,SHARON DENISE"/></td> </tr> <tr> <td>Reimbursee ID*</td> </tr> <tr> <td><input type="text" value="9999999"/></td> </tr> <tr> <td>Reimbursee Department Name</td> </tr> <tr> <td><input type="text" value="ASSISTANT COMPTROLLER"/></td> </tr> </table>	Reimbursee Name (Last,First)*	<input type="text" value="JACKSON,SHARON DENISE"/>	Reimbursee ID*	<input type="text" value="9999999"/>	Reimbursee Department Name	<input type="text" value="ASSISTANT COMPTROLLER"/>	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 100%;">Reimbursement Exception Type*</td> </tr> <tr> <td><input type="text" value=" > 60 DAYS"/></td> </tr> <tr> <td>Reimbursement Reason*</td> </tr> <tr> <td><input type="text" value="Extended Travel"/></td> </tr> <tr> <td>Amount*</td> </tr> <tr> <td><input type="text" value="\$500.00"/></td> </tr> <tr> <td>Explanation of Circumstances*</td> </tr> <tr> <td><input type="text" value="Enter details for explanation of circumstances."/></td> </tr> <tr> <td>Actions to Prevent Future Violations*</td> </tr> <tr> <td><input type="text" value="Enter details for actions to prevent future violations."/></td> </tr> </table>	Reimbursement Exception Type*	<input type="text" value=" > 60 DAYS"/>	Reimbursement Reason*	<input type="text" value="Extended Travel"/>	Amount*	<input type="text" value="\$500.00"/>	Explanation of Circumstances*	<input type="text" value="Enter details for explanation of circumstances."/>	Actions to Prevent Future Violations*	<input type="text" value="Enter details for actions to prevent future violations."/>
Reimbursee Name (Last,First)*																	
<input type="text" value="JACKSON,SHARON DENISE"/>																	
Reimbursee ID*																	
<input type="text" value="9999999"/>																	
Reimbursee Department Name																	
<input type="text" value="ASSISTANT COMPTROLLER"/>																	
Reimbursement Exception Type*																	
<input type="text" value=" > 60 DAYS"/>																	
Reimbursement Reason*																	
<input type="text" value="Extended Travel"/>																	
Amount*																	
<input type="text" value="\$500.00"/>																	
Explanation of Circumstances*																	
<input type="text" value="Enter details for explanation of circumstances."/>																	
Actions to Prevent Future Violations*																	
<input type="text" value="Enter details for actions to prevent future violations."/>																	

PROCESSED

Date Received	Completion Status	Processed By
<input type="text" value="07/05/2017"/>	<input type="text"/>	<input type="text"/>
Date Processed	Pending Reason	Processed By User ID
<input type="text" value="07/05/2017"/>	<input type="text"/>	<input type="text"/>

SUPPORTING DOCUMENTATION (1)

* CMP - Exception To Policy Request Attachments #1449 - 6/29/2017 -- NELSON,ERIC J for JACKSON,SHARON DENISE

- 3) An email notification with a link to the form will be sent to the Comptroller's Office Approver Team that a new request has been submitted. ([See G.3 Notification](#))
- 4) The Approver's Team will process the request within a reasonable time with the following status of Approved, Denied or Pending. (See Steps 5-7)

- 5) **Approved** – The request has been approved. An email notification with a link to the form will be sent to the Requestor and/or Reimbursee that the request was approved. ([See G.5 Notification](#))

PROCESSED		
Date Received 06/29/2017	Completion Status APPROVED	Processed By Sharon D Jackson
Date Processed 06/29/2017		Processed By User ID SJW2

- 6) **Denied** – The request has been denied. An email notification with a link to the form will be sent to the Requestor and/or Reimbursee that the request was denied. The denial reason will be on the Request form. ([See G.6 Notification](#))

PROCESSED		
Date Received 06/29/2017	Completion Status DENIED	Processed By Sharon D Jackson
Date Processed 06/29/2017	Denial Reason Insufficient circumstances explai	Processed By User ID SJW2

- 7) **Pending** – The request is pending because additional information may be needed. An email notification with a link to the form will be sent to the Requestor and/or Reimbursee that the request is pending. The pending reason will be included in the email as well as on the form with what is needed. Once the requested information is received, the Comptroller’s Approver Team will continue the review process to either approve or deny the request. ([See G.7 Notification](#))

PROCESSED		
Date Received 06/29/2017	Completion Status PENDING	Processed By Sharon D Jackson
Date Processed 06/29/2017	Pending Reason REQUESTED ADDITIONAL DOCUMEN	Processed By User ID SJW2

- 8) After the Requestor has received the email notification from the Comptroller’s Office Approver Team that the Reimbursement Request Exception has been approved, the Requestor will need to notify Accounts Payable that the Expense Report is ready for processing. The Exception Request Number or email will need to be included with documentation submitted to Accounts Payable. If the documentation has been submitted to Accounts Payable, the email notification with the Exception Request Number link needs to be forwarded to them. ([See G.5 Notification](#))

H. Process Overview – CMP Blanket or One-Time Exception Request Form

- 1) An email notification with a link to the form will be sent to the Requestor that the request has been received. ([See H.1 Notification](#))
- 2) If you click on the link to the form, it will allow you to sign in to OnBase through NAU CAS to see the submitted request form as it is updated.

NORTHERN ARIZONA UNIVERSITY

Exception To Policy Request

Complete this form to obtain the Comptroller's approval for one of the following: (1) Reimbursement Exception Request OR (2) Exception to NAU Comptroller's Policy and Procedures. You can verify designated Exception to Policy Authorized Signer(s) for speedcharts at NAU Travel Exceptions to Signer "Lookup" on the Comptroller's page. (See User's Guide for details)

Date Requested 06/27/2017 **Exception Request #** 1423 **Exception To Policy Type*** Blanket **Effective Date*** 06/27/2017 **End Date*** 06/28/2017

REQUESTOR

Requestor Name (Last,First)* JACKSON,SHARON DENISE **Requestor ID*** 9999999

Requestor Department Name ASSISTANT COMPTROLLER

EXCEPTION TO POLICY

You can view policies at "http://nau.edu/Comptroller/Policies-Procedures/" to copy and paste appropriate information in corresponding Policy Statement.

POLICY NUMBER REFERENCE(S) Add

Policy Number* 101 - Comptroller's Office Mission and Organization Remove

Policy Statement (1)
Test 1 - ETPS - Approve

EXCEPTION DETAIL

Business Need / Circumstances Requiring Exception to Policy*
Test 1 - ETPS - Approve

Additional procedures such as prior purchase approvals, reviews, etc. to be undertaken to prevent and detect misuse*
Test 1 - ETPS - Approve

DEPARTMENT/UNIT AFFECTED BY EXCEPTION TO POLICY Add

Speedchart*	Department ID	Department Name	Fund #	Branch ID	Branch Description
1000010F11	1000010	OFFICE OF GENERAL COUNSEL	1100	B115	President - Administration

Cabinet ID C100 **Cabinet Description** President Remove

EXCEPTION TO POLICY SIGNER

An Exception to Policy Signer must be available in the drop-down list for any speedchart selected above. If no Signer is available in the drop-down list, an Exception to Policy Authorization Form must be completed for the Speedchart. The form is located on the NAU Comptroller's Form page.

Exception To Policy Signer* Clear **Comments** **Date** **Status**

PROCESSED

Date Received	Completion Status	Processed By
06/27/2017		
Date Processed		Processed By User ID

SUPPORTING DOCUMENTATION (1)

*
CMP - Exception To Policy Request Attachments #1423 - 6/27/2017 -- JACKSON,SHARON DENISE for

Attach

Submit

Figure 3

- 3) An email notification with a link to the form will be sent to the designated Exception to Policy Signer that they have a new request to review. ([See H.3 Notification](#))
- 4) The designated Exception to Policy Signer will process the request within a reasonable time with an Approved or Denied.

- 5) For Blanket or One-Time Exception to Policy Request forms that have been approved by the Exception to Policy Signer, they are routed to the Comptroller's Office Approver Team. They will process the request within a reasonable time with the following status of Approved, Denied or Pending. ([See Steps 13-18](#)) ([See H.10 Notification](#))
- 6) **Approved** – The request has been approved. An email notification will be sent to the Requestor with a link to the form that the request has been approved by both the Exception to Policy Signer and the Comptroller's Office. ([See H.11 Notification](#))

PROCESSED		
Date Received 06/29/2017	Completion Status APPROVED	Processed By Sharon D Jackson
Date Processed 06/29/2017		Processed By User ID SJW2

- 7) If you click on the link to the form, it will allow you to sign in to OnBase through NAU CAS to see the update information on the request form. ([See Figure 3 above](#))
- 8) **Denied** – The request has been denied. The denial reason will appear on the Request form. An email notification with a link to the form will be sent to the Requestor that the request was approved by the Exception to Policy Singer but denied by the Comptroller's Office. ([See H.13 Notification](#))

PROCESSED		
Date Received 06/29/2017	Completion Status DENIED	Processed By Sharon D Jackson
Date Processed 06/29/2017	Denial Reason Insufficient circumstances explai	Processed By User ID SJW2

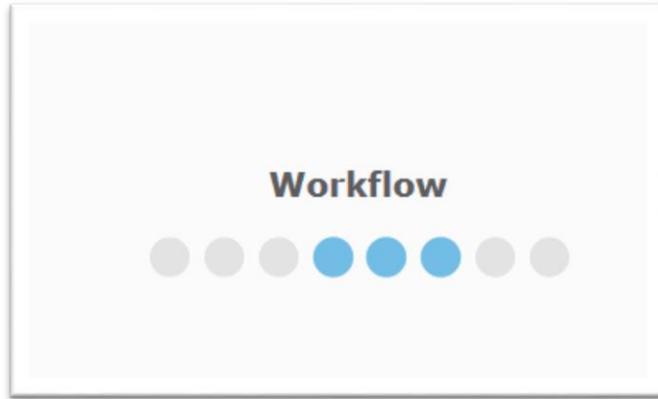
- 9) If you click on the link to the form, it will allow you to sign in to OnBase through NAU CAS to see the updated information on the request form. ([See Figure 3 above](#))
- 10) **Pending** – The request is pending because additional information is needed. An email notification with a link to the form will be sent to the Requestor that the request is pending with the Comptroller's Office. The pending reason will be included in the email and on the form what is needed. Once the requested information is received, the Comptroller Office Approver Team will continue the review process to either approve or deny the request. ([See H.15 Notification](#))

PROCESSED		
Date Received 06/29/2017	Completion Status PENDING	Processed By Sharon D Jackson
Date Processed 06/29/2017	Pending Reason REQUESTED ADDITIONAL DOCUMENT	Processed By User ID SJW2

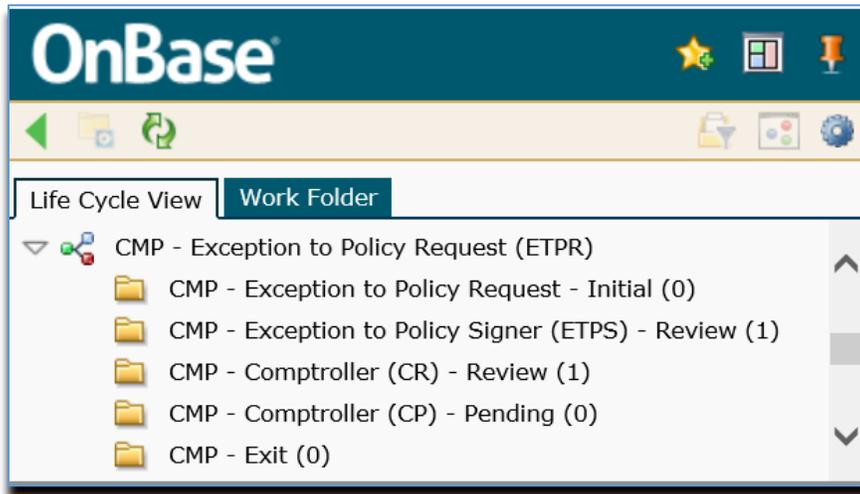
- 11) If you click on the link to the form, it will allow you to sign in to OnBase through NAU CAS to see the updated information on the request form. ([See Figure 3 above](#))

I. Exception to Policy Signer – Instructions to Process a CMP Blanket or One-Time Exception Request Form

- 1) After you, the designated Exception to Policy Signer, receive the email notification of a new request form and click the link to the form, it will allow you to sign in to OnBase through NAU CAS and take you to the new request form in Workflow to process. ([See H.3 Notification](#))



- 2) You will be taken to the **CMP – Exception to Policy Request (ETPR)** Workflow Life Cycle.



- 3) Click on the **CMP – Exception to Policy Signer (ETPS) – Review** folder. (See above)
- 4) You can **only** see requests for which you are the designated Exception to Policy Signer.
- 5) In the Documents window, you will see a list of forms waiting for you to process including the form from the email link you clicked.

Inbox	
Name	Entry Date
CMP - Exception To Policy Request #1423 - 6/27/2017 - Blanket - JACKSON,SHARON DENISE for	7/5/2017 3:29:53 PM
CMP - Exception To Policy Request #1448 - 6/29/2017 - Blanket - JACKSON,SHARON DENISE for	7/7/2017 11:51:02 AM

- 6) Click on the appropriate form to view it. There are five sections of the form as shown below: Requestor, Exception to Policy, Processed and Supporting Documentation. You can click on a section to expand it if it is not already expanded.

NORTHERN ARIZONA UNIVERSITY

Exception To Policy Request

Complete this form to obtain the Comptroller's approval for one of the following: (1) Reimbursement Exception Request OR (2) Exception to NAU Comptroller's Policy and Procedures. You can verify designated Exception to Policy Authorized Signer(s) for speedcharts at NAU Travel Exceptions to Signer "Lookup" on the Comptroller's page. (See User's Guide for details)

Date Requested	Exception Request #	Exception To Policy Type*	Effective Date*	End Date*
06/29/2017	1448	Blanket	06/29/2017	06/29/2017

REQUESTOR

EXCEPTION TO POLICY

PROCESSED

SUPPORTING DOCUMENTATION (1)

Submit

PROCESSED

Date Received	Completion Status	Processed By
06/29/2017		
Date Processed	Pending Reason	Processed By User ID

SUPPORTING DOCUMENTATION

Attach ...

SUPPORTING DOCUMENTATION (1)

*
[CMP - Exception To Policy Request Attachments #1448 - 6/29/2017 - JACKSON, SHARON DENISE for](#)

Attach

- 7) You will process the request within a reasonable time with the following Ad Hoc task options of Approve or Deny. The Ad Hoc tasks will open a HTML form that allows you to enter comments. (See Steps 8 - 13) **Note:** If you select an Ad Hoc task and need to change it, you can click **Cancel** and reselect the appropriate ad-hoc task.




Approve Exception To Policy Request Deny Exception To Policy Request

Tasks

- 8) Click the **Approve Exception To Policy Request** Ad Hoc Task to approve the request. The HTML Comments form will open to add comments. Click **Submit** to process and update the form.

Exception to Policy Signer Comments

Please type any comments you would like to add to the form:

Enter applicable comments.

Submit Cancel

EXCEPTION TO POLICY SIGNER

An Exception to Policy Signer must be available in the drop-down list for any speedchart selected above. If no Signer is available in the drop-down list, an Exception to Policy Authorization Form must be completed for the Speedchart. The form is located on the NAU Comptroller's Form page.

Exception To Policy Signer* Murray, Kristina Maya

Comments Enter comments here for approval.

Date 6/29/2017 4:04:23 PM

Clear

Status Approved

- 9) An email notification with a link to the form will be sent to the Requestor that the Exception to Policy Signer approved the request and that it has been routed to the Comptroller's Office Approvers Team to review. ([See H.6 Notification](#))
- 10) If you click on the link to the form, it will allow you to sign in to OnBase through NAU CAS to see the updated request form. ([See Figure 3 above](#))
- 11) Click the **Deny Exception To Policy Request** Ad Hoc Task to deny the request. The HTML Comments form will open to add comments. Click **Submit** to process and update the form.

Exception to Policy Signer Comments

Please type any comments you would like to add to the form:

Enter applicable comments.

Submit Cancel

EXCEPTION TO POLICY SIGNER

An Exception to Policy Signer must be available in the drop-down list for any speedchart selected above. If no Signer is available in the drop-down list, an Exception to Policy Authorization Form must be completed for the Speedchart. The form is located on the NAU Comptroller's Form page.

Exception To Policy Signer* Murray, Kristina Maya

Comments Enter comments here for approval.

Date 6/29/2017 4:04:23 PM

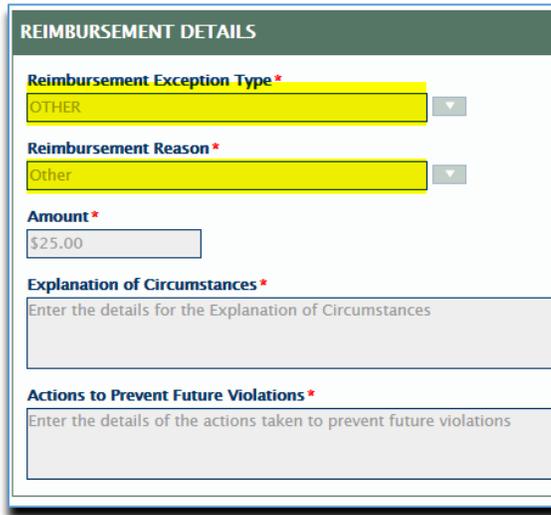
Clear

Status Denied

- 12) An email notification with a link to the form will be sent to the Requestor that the request has been denied by the Exception to Policy Signer. ([See H.8 Notification](#))
- 13) If you click on the link to the form, it will allow you to sign in to OnBase through NAU CAS to see the updated information on the request form. ([See Figure 3 above](#))

J. Correction to a Reimbursement Exception Request Only

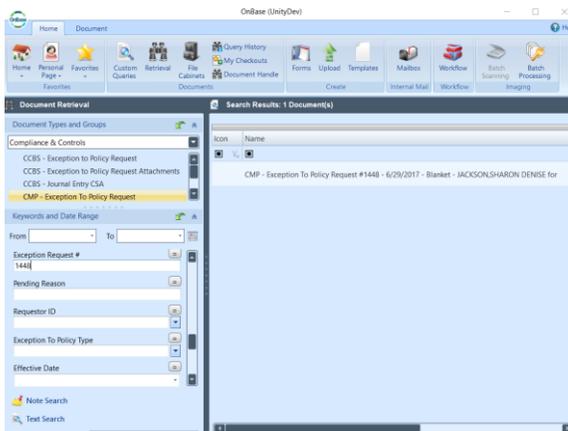
- 1) After you received the email notification and click on the link to the form, you realized you need to change the Reimbursement Type and/or Reimbursement Reason, don't worry. You can get it corrected without having to submit another Request Form.



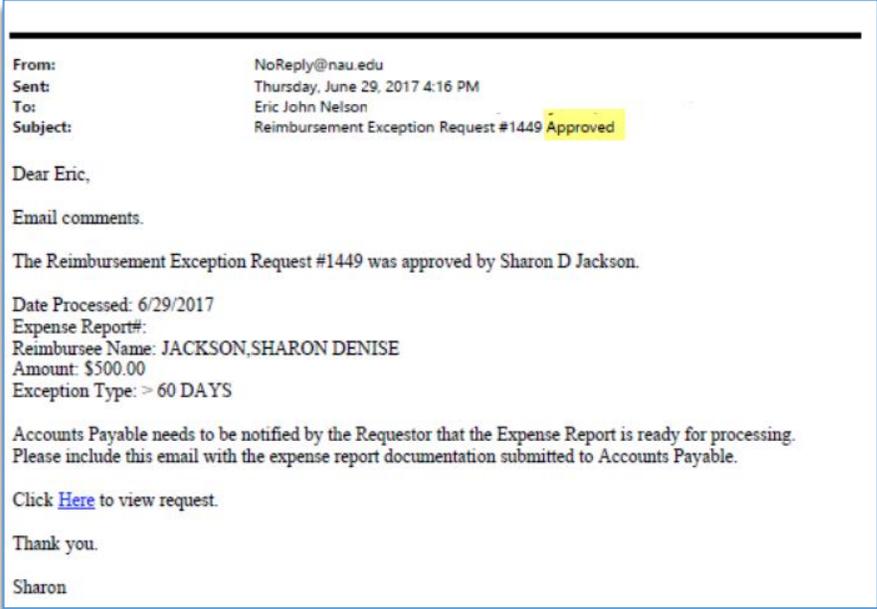
- 2) Immediately, email [FinControls](#) with the Exception Request Number and the correct information for the Reimbursement Exception Type and/or Reimbursement Reason and a brief explanation of why you need to make the correction.
- 3) The Comptroller's Office Approvers Team will be able to make the correction while processing the form.
- 4) You will be emailed of the status of the Request.

K. Retrieve CMP Exception To Policy Request Forms

- 1) The specific Request form can be retrieved by clicking on the link to the form in the email notification received. ([See J.1 Notification](#))
- 2) You will be able to see the status of the Request at any point.
- 3) After submission, all Exception to Policy Request forms will be read-only.
- 4) You can also retrieve a request form by Opening the **OnBase Unity or Web Client**.
- 5) Click on Home | **Retrieval**. Select Document Types and Groups | **Compliance & Controls**.
- 6) Click on **CMP – Exception to Policy Request**.
- 7) If you have the Exception Request Number, you can enter it in the Keywords | **Exception Request #** which will retrieve the form. Or you can use any of the Keywords to retrieve forms.



L. Appendix – Examples of Email Notification

Section Number	Screen Print
<p>G.1</p>	 <p>From: NoReply@nau.edu Sent: Thursday, June 29, 2017 3:00 PM To: Eric John Nelson Subject: Reimbursement Exception Request #1449 Received</p> <p>Dear Eric,</p> <p>This message is to inform you that the Reimbursement Exception Request #1449 has been received.</p> <p>Click Here to view request.</p> <p>Thank you.</p>
<p>G.3</p>	 <p>From: NoReply@nau.edu Sent: Thursday, June 29, 2017 3:00 PM To: Sharon D Jackson Subject: New Reimbursement Exception Request #1449 to Review</p> <p>Dear CCBS Team Member,</p> <p>This message is to inform you that a new Reimbursement Exception Request #1449 has been submitted by Eric Nelson for Sharon Jackson.</p> <p>Click Here to view and process the request.</p>
<p>G.5 G.8</p>	 <p>From: NoReply@nau.edu Sent: Thursday, June 29, 2017 4:16 PM To: Eric John Nelson Subject: Reimbursement Exception Request #1449 Approved</p> <p>Dear Eric,</p> <p>Email comments.</p> <p>The Reimbursement Exception Request #1449 was approved by Sharon D Jackson.</p> <p>Date Processed: 6/29/2017 Expense Report#: Reimbursee Name: JACKSON,SHARON DENISE Amount: \$500.00 Exception Type: > 60 DAYS</p> <p>Accounts Payable needs to be notified by the Requestor that the Expense Report is ready for processing. Please include this email with the expense report documentation submitted to Accounts Payable.</p> <p>Click Here to view request.</p> <p>Thank you.</p> <p>Sharon</p>

[G.6](#)

From: NoReply@nau.edu
Sent: Thursday, June 29, 2017 4:20 PM
To: Eric John Nelson
Subject: Reimbursement Exception Request #1449 Denied

Dear Eric,

Email comments.

The Reimbursement Exception Request #1449 was denied by Sharon D Jackson.

Date Processed: 6/29/2017
Expense Report#:
Reimbursee Name: JACKSON,SHARON DENISE
Amount: \$500.00
Exception Type: > 60 DAYS

Please include this email with your documentation.

Click [Here](#) to view request.

Thank you.

Sharon

[G.7](#)

From: sharon.jackson@nau.edu
Sent: Thursday, June 29, 2017 4:12 PM
To: Eric John Nelson
Subject: Reimbursement Exception Request #1449 Pending

Dear Eric,

Email comments

The Reimbursement Exception Request #1449 is pending because of the following reason: Requested Additional Documentation.

Date Processed: 6/29/2017
Expense Report#:
Reimbursee Name: JACKSON,SHARON DENISE
Amount: \$500.00
Exception Type: > 60 DAYS

Click [Here](#) to view request.

Thank you.

Sharon

[H.1](#)

From: NoReply@nau.edu
Sent: Thursday, June 29, 2017 2:58 PM
To: Sharon D Jackson
Subject: Blanket Exception To Policy Request #1448 Received

Dear Sharon,

This message is to inform you that the Blanket Exception To Policy Request #1448 has been received.

Click [Here](#) to view the request.

Thank you.

[H.3](#)

From: NoReply@nau.edu
Sent: Thursday, June 29, 2017 2:58 PM
To: Sharon D Jackson
Subject: New Blanket Exception To Policy Request #1448 to Review

Dear Sharon,

As the designated Exception to Policy Signer, you have a new Blanket Exception To Policy Request #1448 to review.

Policy Number: 101 - Comptroller's Office Mission and Organization
Speedchart: 2000010F11

Click [Here](#) view and process the request.

There are (2) AD-Hoc task for processing:

(1) **Approve** - Click to approve the request and enter any comments. Once approved, the request will be routed to the Comptroller's Approvers to review and approve, deny or place in pending because additional information is needed. If the request is pending, the Approvers will communicate with the Requestor what additional information is needed. When the additional information is received, the review process will continue. Once the Comptroller's Office review is complete, the Requestor will receive a notification that the request was approved or denied.

(2) **Deny** - Click to deny the request and enter any comments. If denied, the Requestor will receive a notification that the request was denied.

The notifications will contain a link to view the request.

If you need additional assistance with processing the request, click [User's Guide](#).

Thank you.

[H.6](#)

From: NoReply@nau.edu
Sent: Thursday, June 29, 2017 3:12 PM
To: Sharon D Jackson;
Subject: Blanket Exception To Policy Request #1448 **Approved by Exception to Policy Signer**

Dear Sharon,

The Exception to Policy Signer approved the Blanket Exception to Policy Request #1448. The request has been routed to the Comptroller's Office to review.

Policy Number: 101 - Comptroller's Office Mission and Organization
Speedchart: 2000010F11
Exception to Policy Signer: Murray,Kristina Maya

Click [Here](#) to view the request.

Thank you.

[H.8](#)

From: NoReply@nau.edu
Sent: Thursday, June 29, 2017 3:16 PM
To: Sharon D Jackson
Subject: Blanket Exception To Policy Request #1448 **Denied by Exception to Policy Signer**

Dear Sharon,

The Exception to Policy Signer denied the Blanket Exception to Policy Request #1448.

Policy Number: 101 - Comptroller's Office Mission and Organization
Speedchart: 2000010F11
Exception to Policy Signer: Murray,Kristina Maya

Click [Here](#) to view the request.

Thank you.

[H.10](#)

From: NoReply@nau.edu
Sent: Thursday, June 29, 2017 3:20 PM
To: Sharon D Jackson
Subject: New Blanket Exception To Policy Request #1448 to Review

Dear CCBS Team Member,

A new Blanket Exception To Policy Request #1448 has been approved by the Exception to Policy Signer. It has been submitted to you for review.

Requestor: Sharon Jackson
Department: Assistant Comptroller
Policy Number: 101 - Comptroller's Office Mission and Organization
Speedchart: 2000010F11
Exception to Policy Signer: Murray, Kristina Maya

Click [Here](#) to view and process the request.

[H.11](#)

From: sharon.jackson@nau.edu
Sent: Thursday, June 29, 2017 3:56 PM
To: Sharon D Jackson
Subject: Blanket Exception To Policy Request #1448 Approved by Comptrollers

Dear Sharon,

The Blanket Exception to Policy Request #1448 has been approved by both the Exception to Policy Signer and the Comptroller's Office. Please proceed with your process and reference this exception request number in the supporting documentation.

Policy Number: 101 - Comptroller's Office Mission and Organization
Speedchart: 2000010F11
Exception to Policy Signer: Murray, Kristina Maya

Click [Here](#) to view the request.

Thank you.

Sharon

[H.13](#)

From: sharon.jackson@nau.edu
Sent: Thursday, June 29, 2017 4:06 PM
To: Sharon D Jackson
Subject: Blanket Exception To Policy Request #1448 Denied by Comptrollers

Dear Sharon,

The Blanket Exception to Policy Request #1448 was approved by the Exception to Policy Signer but denied by the Comptroller's Office for the following reason: Insufficient Circumstances Explanation.

Email comments.

Policy Number: 101 - Comptroller's Office Mission and Organization
Speedchart: 2000010F11
Exception to Policy Signer: Murray,Kristina Maya

Click [Here](#) to view the request.

Thank you.

Sharon

[H.15](#)

From: sharon.jackson@nau.edu
Sent: Thursday, June 29, 2017 3:50 PM
To: Sharon D Jackson
Subject: Blanket Exception To Policy Request #1448 Pending with Comptrollers

Dear Sharon,

The Blanket Exception to Policy Request #1448 is pending with the Comptroller's Office because of the following reason: Requested Additional Documentation.

Email comments.

Policy Number: 101 - Comptroller's Office Mission and Organization
Speedchart: 2000010F11
Exception to Policy Signer: Murray,Kristina Maya

Click [Here](#) to view the request.

Thank you.

Sharon

[J.1](#)

From: NoReply@nau.edu
Sent: Thursday, June 29, 2017 3:00 PM
To: Eric John Nelson
Subject: Reimbursement Exception Request #1449 Received

Dear Eric,

This message is to inform you that the Reimbursement Exception Request #1449 has been received.

Click [Here](#) to view request.

Thank you.