



Created: January 1, 2023 Updated: February 7, 2025

## PURPOSE

The Exception Approval process was established to support operational excellence and ensure compliance. This process should be followed when a requested HR action was not pre-approved and/or not fully processed before an employee begins employment and/or payment is provided. It should also be followed if a hiring deadline is missed or when an additional compensation request exceeds the allowable amount. Exception Approvals will be monitored and escalated to leadership as needed in the case of repeated infractions.

### These Guidelines will provide:

- The overview of the process
- The definition of exceptions that must follow this process
- The DocuSign link to the form

### NOTE:

All Supplemental Compensation exceptions and repeat infractions (3) will be escalated to the Chief Administrative Officer and Dean for review and approval. If exception is denied, EHE HR Business Partner, will provide explanation of the denial to the requestor.

## DEFINITION

	DEFINITION
<b>Background Check (BGC)</b>	Process of acquiring records regarding an individual's prior history that are used to determine eligibility for initial or ongoing employment or other university activities. BGC's are required for consultants, contractors, and volunteers. <b>Must be completed before any work begins.</b>
<b><u>Common Hire Date Change</u></b>	If you need an employee to begin on a date that is not a common hire date and/or prior to the completion of a BGC.
<b>Working Prior to the Hire Process Completion</b>	When a manager allows an employee (across all classifications) to begin work before the successful completion of the hiring process in the Workday system.
<b>After the fact approval</b>	The process of obtaining approval for an action, decision, or activity after it has already occurred or been completed.
<b>Over the Allowable Supplemental Compensation of 20% annual salary</b>	<a href="#">Per OSU Additional Pay Policy</a> - Exception approval is required for an employee's request to earn additional compensation outside of their normal work duties if the earnings exceed 20% of the employee's annual salary. Failure to receive approval may result in non-payment for the work performed
<b>Missed Deadline for Hiring Information</b>	When a deadline is set for submitting hiring information and the deadline is missed, requiring after-the-fact processing.



## PROCESS

To support operational excellence, HR has implemented an Exception Approval process which is required to complete the processing of any action related to the infractions mentioned above.

1. The department HRC will collaborate with managers to identify transactions that fall outside of policy or EHE guidelines, requiring exception approval. HRC will provide guidance on how to prevent exceptions for future transactions.
2. Once the above is identified, the Manager and/or Manager Liaison, must complete the [Exception Approval Form](#) via DocuSign in its entirety, including all required information.
3. The HRBP will review and evaluate the risk and infractions to determine whether the Chief Administrative Officer (CAO) and/or Dean should be included in the approval or denial process.
4. Once submitted in DocuSign and all required signatures are obtained, the requestor will be notified of the exception approval by their department HRC.

## ROLES AND RESPONSIBILITIES

Role	Responsibilities
<b>Department Human Resource Consultant (HRC)</b>	Will identify a transaction that requires an exception and provide the DocuSign link for completion and signature. The form must include an HR Financial Action Form (HRA) to support the original HR request. HRC will review the Exception Approval Form and make any necessary edits to ensure all information is complete.
<b>Manager/Manager Liaison</b>	The Manager/Manager Liaison will complete the <a href="#">Exception Approval Form</a> via DocuSign providing full details to initiate the review and approval process. This action does not guarantee approval.
<b>Department Chair</b>	The Department Chair will review the exception form and the requestor's previous infractions to assess operational excellence in future requests and determine approval for the current request. This action does not guarantee approval.
<b>Chief Administrative Officer/Dean</b>	The CAO/Dean will receive and review any supplemental compensation requests exceeding the allowable 20% of the annual salary, as well as repeat infractions.
<b>HR Business Partner</b>	HRBP will provide detailed information on any denials and collaborate with department leadership to determine the best approach to avoid future exceptions.