

Exceptions from the Audit How-To Guide

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Overview

Intended Audience

- Advisors
- Department chairs and program leaders
- Department staff

Background

Advisors may now request exceptions from the audit to approve major and minor substitutions. Paper major contracts are no longer required – the DARS is following the established catalog curriculum. Exceptions to that curriculum may be submitted via DARS. Requests are routed to the department chair or program leader for review. If approved, requests are routed to the Office of the Registrar for processing. The requestor will be notified of the final decision via email.

General Education & All University Requirement exceptions

Important Note: This process should not be used to request changes to GE & All University Requirements (GEAR). Exceptions to CAL POLY HUMBOLDT, CSU & California Title 5 policies (which includes GEAR) are rarely approved and require a formal [Petition for GEAR Course Substitution](#) with justification.

Transfer courses & pre-requisite approval details

Registrar staff will process a pre-requisite equivalency when you **swap** in a transfer course for a major course “owned” by your department (offered within your department). Examples:



*A Biological Sciences advisor swaps for a BIOL, BOT or ZOOLOGY course and that is approved by the department. This is processed as a **pre-requisite equivalent**.*



*A Biological Sciences advisor swaps a CHEM, PHYX, or MATH course. This will only be processed as a **major substitution** – it meets major/graduation requirements, but does not meet pre-requisite checking.*

If a course outside of the major department is needed as a pre-requisite, the student must submit a [Petition for Transfer Course Equivalency](#) signed by the department chair who “owns” that course. Explain to the student that they will need to petition for pre-requisites (or else will need permission numbers at the time of registration in any courses needing that pre-requisite for every subsequent semester).

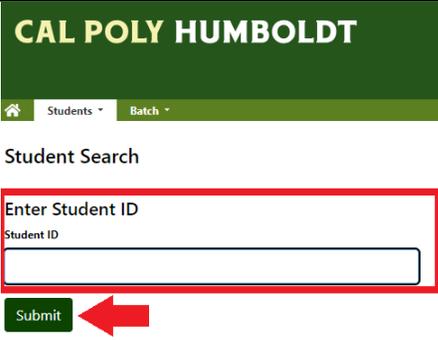
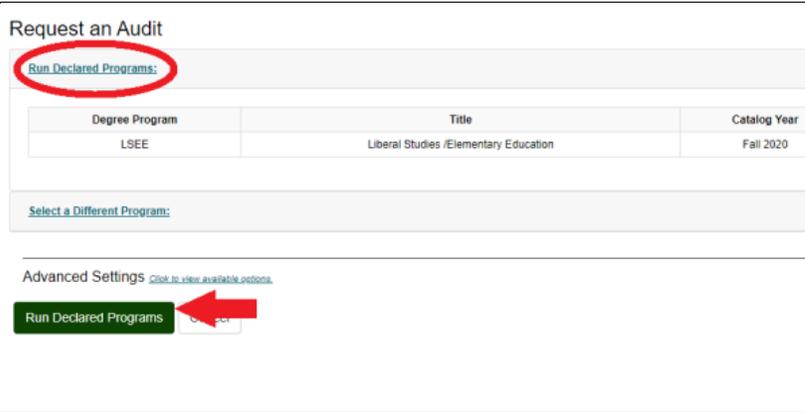
Overview – How to access DARS

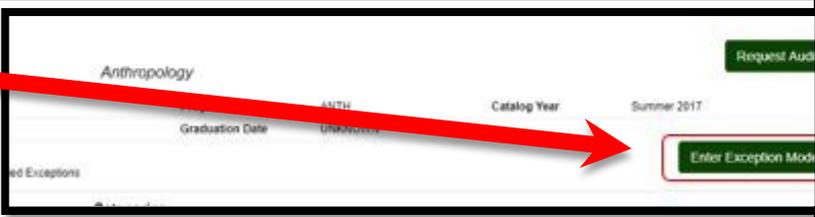
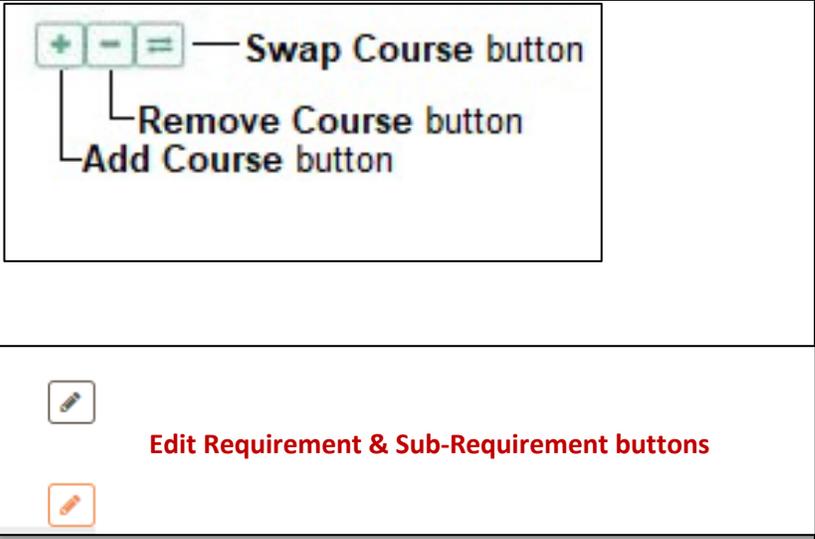
Navigation via Advisee Roster: DARS exceptions can be accessed via the Advisee Roster in Faculty Center

Navigation via myHumboldt: Find the DARS pagelet, click View Audits & Plans.

Tip: save the DARS pagelet to your home tab if needed by going to the Faculty & Staff Resources tab, find the DARS pagelet and click the plus “+” icon to save to your myHumboldt home tab for the future.

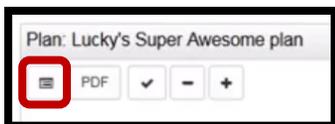
How to run DARS and add an Exception

Step-by-step instructions	Screenshots
1. Click the Students icon	
2. Enter the student's 9-digit ID number, click Submit button	
<p>3. On the Request an Audit page:</p> <ul style="list-style-type: none"> • If a degree program is listed, click Run Declared Programs and proceed to step 4. • If you see “No default programs found” contact the Office of the Registrar staff for instructions. <p>4. DARS will load, then click the View Audit button.</p>	
5. When audit opens, click on the bar graph next to Major Courses or Minor courses depending on where you want to request an exception.	

<p>6. Click the Enter Exception Mode button</p>	
<p>7. Pick which exception to use. Exceptions types are:</p> <ul style="list-style-type: none"> a. Add Course Exception (green plus-sign) b. Remove Course Exception (green minus-sign) c. Swap Course Exception (green stacked arrows) d. <i>Advanced – rarely used:</i> Edit Requirement or Edit Sub-requirement (pencil icons) 	
<p>8. Follow prompts in exception dialogue box. See Exceptions by type – detailed instructions for each type below, or simply follow the on-screen instructions.</p> <p>9. On the Save & Verify page, update the Audit Note and Memo.</p> <ul style="list-style-type: none"> e. Audit note: text displays on DARS after approval f. Memo: internal memo to chair and Registrar staff. <ul style="list-style-type: none"> i. Memos are helpful to communicate the intent of your exception, or to communicate with your department chair ii. <u>If a transfer course is involved, you must include a memo to restate which course is being used. It's critical to leave details here - especially with transfer credit. We need advisors to specify exactly which transfer course was used again the memo area.</u> Note: Although the advisor pulls in a specific course through your interface and it seems straightforward, when the exception comes through the workflow to Registrar staff, it's not always clear exactly which transfer course was chosen. <p>10. Click the Save & Add Exception button.</p> <p>11. Click the Exit Exception Mode button in the top right corner of the audit when all exceptions are proposed.</p> <p>12. You will be notified of the final decision via email. Approved exceptions will appear on the audit after processing is complete.</p>	

Planned courses – how to enter planned exceptions

The general instructions above show you how to enter exception mode from the regular “Audits” tab – the Audits tab includes Completed & In Progress courses only. If you would like to enter exception mode using planned courses (including completed and in progress), then you need to view the Plans audit:



- a. go to the **Plans** tab,
- b. select plan (primary plan should be starred as preferred),
- c. click the **View Audit with Planned Courses** button,
- d. Click the **Enter Exception Mode** button and follow the steps above.

What if I can't figure out which exception to use?

First, we recommend calling the Transfer & Grad Counselor who works with your department.

However, if you are feeling stuck and in a time crunch, just pick the "edit" exception type (pencil icon) and leave *really good memo notes* – even if it's not the right "type" that's ok. As long as you leave good memos to communicate to the chair and the Registrar's Office what you are trying to accomplish we will find a way to make it work.

What if the student has not yet declared the major or minor?

Advise students to declare the planned major or minor first to secure catalog rights. However, if needed, you can run a "what if" audit for the planned major/minor, choose the current term as catalog year and proceed. Advise student to declare the major/minor ASAP to secure catalog rights.

Why does DARS say "no default programs found"?

This is likely a second bachelor's degree student, a former student or a future student who has not yet enrolled. Note that second bachelor's degree students do not have a DARS, and running a "what-if" is NOT recommended for former/future students, as the student may have limited catalog rights – Contact Registrar staff.

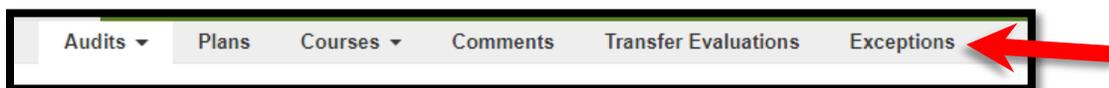
What happens when I save an exception? Where does it go?

You can click the link in the email to visit the "Exception Status" page and view more details, or bookmark the ["Exception status" page](#).

You will receive a confirmation email that the exception was submitted. The department chair will also receive an email notice that there is an exception awaiting approval. Once the chair has made a decision on the exception, a notification will be sent to the appropriate Transfer & Graduation Counselor (TGC) in the Office of the Registrar for processing.

How to view total exceptions for a student?

You could look up all *requested* exceptions using the Exception status page (more on that later in the guide), however to see which exceptions are currently active for a student you just need to run a DARS. Then click the Exceptions tab in the top menu bar.



Too many emails? Try a Gmail filter

Larger departments or advising caseloads may find they are getting too many emails. If that is the case, you should setup some filters in Gmail. The exact setup will depend on your email preferences, but one recommended set up is outlined below. Follow these steps to set up a Gmail filter to keep these out of your inbox, except we will still make sure any denied requests still route to inbox since those may need review:

Step-by-step instructions	Screenshots
<ol style="list-style-type: none">1. Open and view one of the emails.2. Click the "more" icon (three vertical dots, right corner)3. Select "Filter messages like this" from the dropdown.	A screenshot of the Gmail interface showing an email header with the date 'Mon, Oct 2, 2:36 PM (8 days ago)', a star icon, and a reply icon. A red circle highlights the three vertical dots menu icon in the top right corner. Below the header, a dropdown menu is open, showing options: Reply, Forward, Filter messages like this, Print, and Delete this message. A red arrow points to the 'Filter messages like this' option.

4. Enter the following:
From: udirect@humboldt.edu;
Has the words: DARS Exception Process;
Doesn't have: "denied" (be sure to include quotation marks)
5. Click **Create Filter**. Then decide what to do (apply label, mark as read, skip the inbox, etc. – whatever you would like).
6. Click Create Filter again to save settings

From:

To:

Subject:

Has the words:

Doesn't have:

Size: greater than MB

Has attachment



How to check the status of an exception – the Exception Status Page

URL: <https://apex.humboldt.edu/ords/f?p=121:1>

Access to this page is driven by your role – advisors, department chairs/program leaders, department coordinators, and Registrar staff will have access to this page.

Enter student ID number in search bar and click go to review the status.

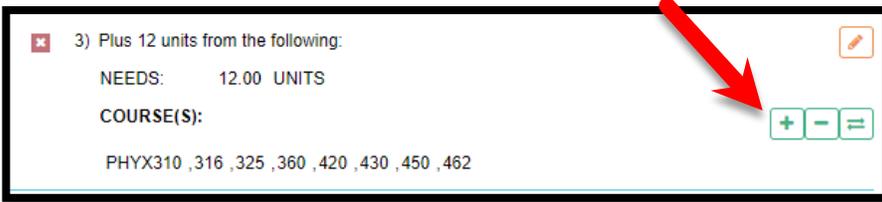
Look at Department action to see if/when the chair or program leader entered a decision.

Check the Registrar Action column to see if/when Registrar staff took action to finalize the request.

Department Exceptions Status						
Edit Registrar Approval Status	EMPLID	Name	Request For Department	Department Action	Registrar Action	Request Description
Approved	[REDACTED]	[REDACTED]	Business	Approved 19-SEP-18 Harinder Singh hs807@humboldt.e...	Approved 23-SEP-18 Jenni Robinson jcr36@humboldt.edu	Swap Course Swapping out BA 410 Swapping in GEOG300 In requirement BAIN (BAIN1) requested by [REDACTED] 09/19/2018
	[REDACTED]	[REDACTED]	Physics & Astrono...	Approved 19-SEP-18 Monty Mola mmm67@humbol...	Pending Pending Pending	Remove Course Removing CHEM110 In requirement PXASA (PXASA1) requested by [REDACTED] 09/19/2018
	[REDACTED]	[REDACTED]	Physics & Astrono...	Approved 19-SEP-18 Monty Mola mmm67@humbol...	Pending Pending Pending	Swap Course Swapping out CHEM109 Swapping in CHEM107 In requirement PXASA (PXASA1) requested by [REDACTED] 09/19/2018

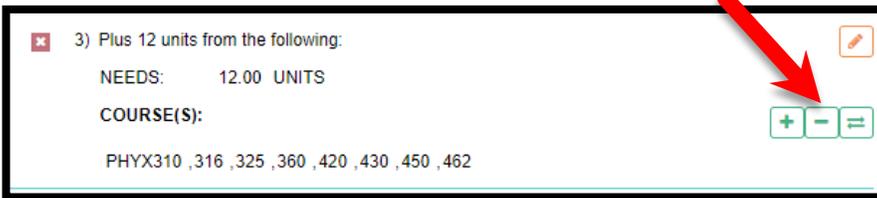
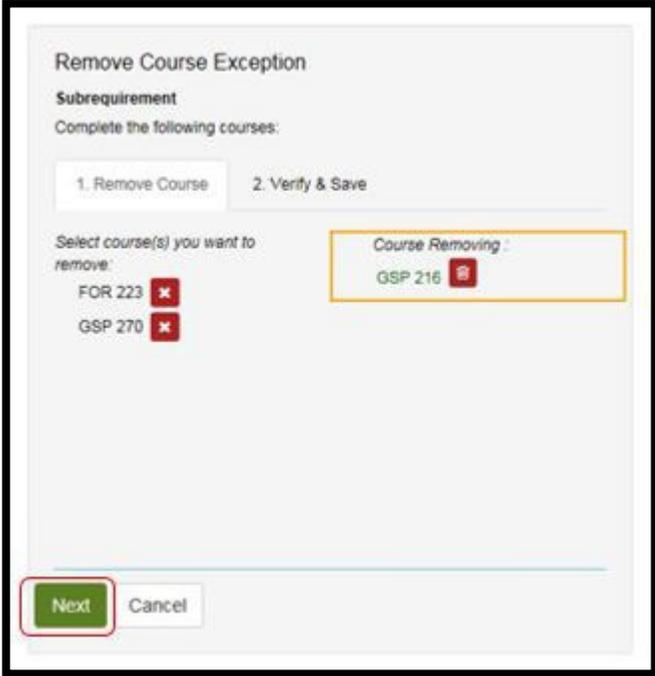
Exceptions by type – detailed instructions for each type

Add Course Exceptions

Process Steps	Screenshot
<p>1. Click the Add Course button (“+”/plus symbol) next to the appropriate requirement.</p>	
<p>2. Enter the course information, <u>or</u> select from a list of courses the student has already completed (or planned, if using the Plan Audit). Click the green plus-sign button.</p>	
<p>3. Verify that the correct course is being proposed, then click the Next button.</p>	

<p>4. On the Verify & Save tab, confirm the proper course appears</p> <p>5. Add Audit Note</p> <p>6. Add Memo: <u>Be explicit in the memo</u> to help clarify your request and ensure it is processed appropriately</p> <p>7. Click green Save & Add Exception button to route the request to the department chair.</p>	<p>Need to modify the subrequirement? Click here.</p> <p>Course Adding : GSP 216 (3 Units) Introduction to Remote Sensing Intro: Plus 12 units from the following: Using pseudo of PHYXBA-UD3</p> <p><input type="checkbox"/> Restrict to this Degree Program. <input checked="" type="checkbox"/> Restrict to this Requirement.</p> <p>Audit Note</p> <p>Course Added: GSP 216 (Maximum characters: 27)</p> <p>Memo</p> <p>Let student use <u>GSP 216</u> in this requirement based on this really good justification I'm including right here about why it's appropriate.</p> <p>(Maximum characters: 255)</p> <p>Authorized by: JCR36 (Maximum characters: 30) Date: 01/31/2018</p> <p>Back Save & Add Exception Cancel</p>
<p>8. A confirmation message will display and you will receive an email confirmation.</p>	<p>Success! You have successfully requested an exception, once approved by the department and Office of the Registrar, the exception will show on the student's audit.</p>

Remove Course Exceptions

Process Steps	Screenshot
<p>1. Click the Remove Course button (“-”/minus symbol) under the appropriate major (or minor) requirement.</p>	
<p>2. Select the course you want to remove by clicking on the red X button next to the desired course.</p>	
<p>3. Click the green Next button</p>	

4. On the Verify & Save tab, confirm the proper course appears
5. Add Audit Note (will show up on DARS after approval)
6. Add Internal Memo: Be explicit in the memo to help clarify your request and ensure it is processed appropriately.
7. Click green Save & Add Exception button to route the request to the department chair.

Remove Course Exception

Subrequirement
Complete the following courses.

1. Remove Course 2. Verify & Save

[Need to modify the subrequirement? Click here.](#)

Course Removing :
MATH241

Into:
Complete the following courses.
Using pseudo of PHYXBA-LD1

Restrict to this Degree Program. Restrict to this Requirement.

Audit Note

Course Waived: MATH 241

(Maximum characters: 27)

Memo

We decided this course was not required based on this really good justification I'm providing right now with all the details you'd ever need...]

(Maximum characters: 255)

Authorized by **Date**

JCR36 01/31/2018

(Maximum characters: 30)

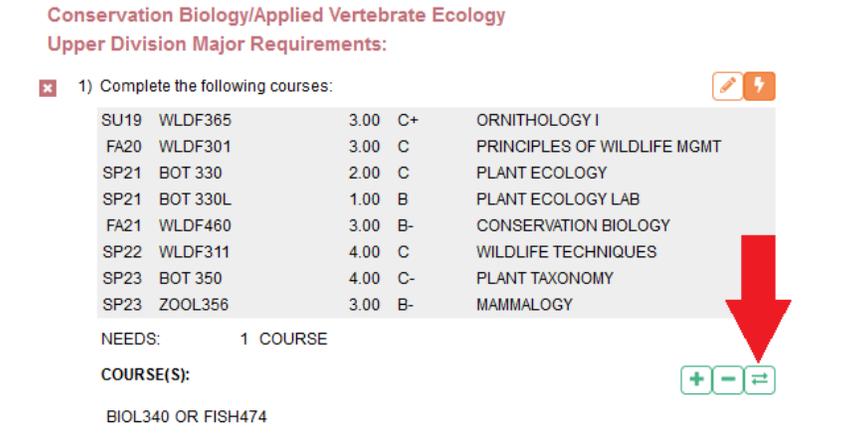
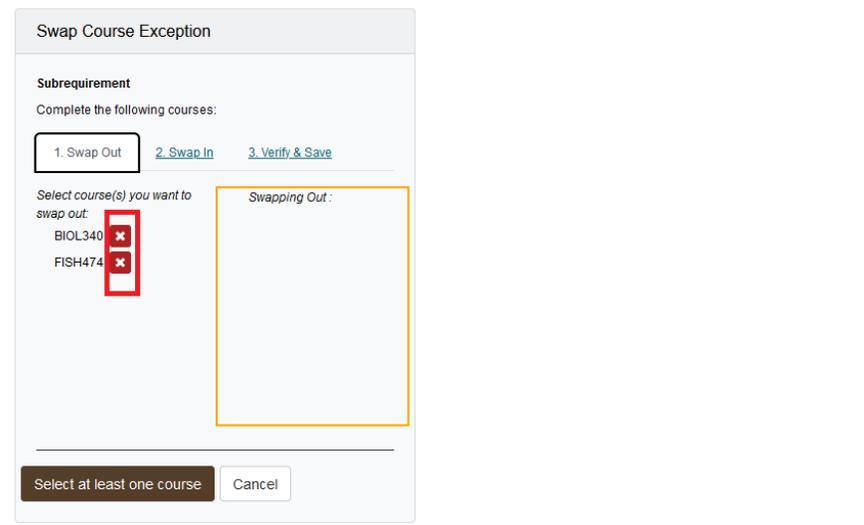
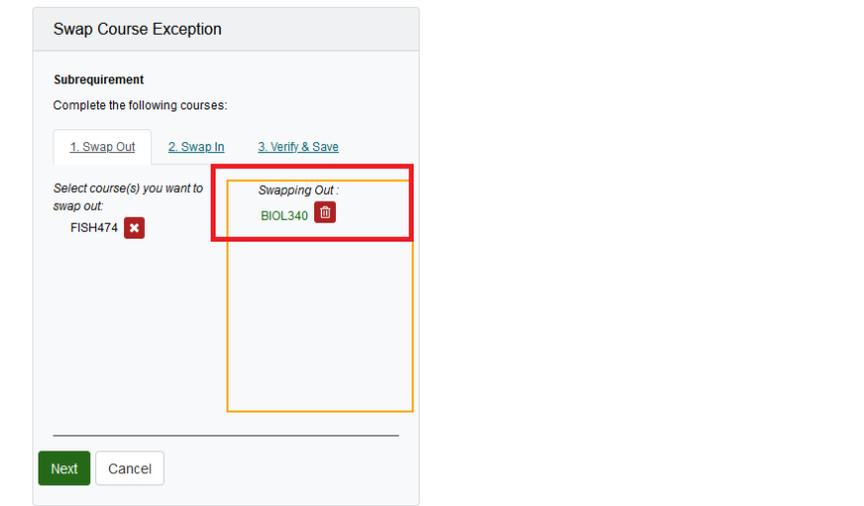
Back Save & Add Exception Cancel

8. A confirmation message will display and you will receive an email confirmation.

Success! You have successfully requested an exception, once approved by the department and Office of the Registrar, the exception will show on the student's audit.

Cal Poly Humboldt.

Swap Course Exception

Process Steps	Screenshot																																								
<p>1. Click the Swap Course button (two-way arrows symbol) under the appropriate major (or minor) requirement.</p>	 <p>Conservation Biology/Applied Vertebrate Ecology Upper Division Major Requirements:</p> <p>✖ 1) Complete the following courses:</p> <table border="1"> <tr> <td>SU19</td> <td>WLDF365</td> <td>3.00</td> <td>C+</td> <td>ORNITHOLOGY I</td> </tr> <tr> <td>FA20</td> <td>WLDF301</td> <td>3.00</td> <td>C</td> <td>PRINCIPLES OF WILDLIFE MGMT</td> </tr> <tr> <td>SP21</td> <td>BOT 330</td> <td>2.00</td> <td>C</td> <td>PLANT ECOLOGY</td> </tr> <tr> <td>SP21</td> <td>BOT 330L</td> <td>1.00</td> <td>B</td> <td>PLANT ECOLOGY LAB</td> </tr> <tr> <td>FA21</td> <td>WLDF460</td> <td>3.00</td> <td>B-</td> <td>CONSERVATION BIOLOGY</td> </tr> <tr> <td>SP22</td> <td>WLDF311</td> <td>4.00</td> <td>C</td> <td>WILDLIFE TECHNIQUES</td> </tr> <tr> <td>SP23</td> <td>BOT 350</td> <td>4.00</td> <td>C-</td> <td>PLANT TAXONOMY</td> </tr> <tr> <td>SP23</td> <td>ZOOL356</td> <td>3.00</td> <td>B-</td> <td>MAMMALOLOGY</td> </tr> </table> <p>NEEDS: 1 COURSE</p> <p>COURSE(S): BIOL340 OR FISH474</p>	SU19	WLDF365	3.00	C+	ORNITHOLOGY I	FA20	WLDF301	3.00	C	PRINCIPLES OF WILDLIFE MGMT	SP21	BOT 330	2.00	C	PLANT ECOLOGY	SP21	BOT 330L	1.00	B	PLANT ECOLOGY LAB	FA21	WLDF460	3.00	B-	CONSERVATION BIOLOGY	SP22	WLDF311	4.00	C	WILDLIFE TECHNIQUES	SP23	BOT 350	4.00	C-	PLANT TAXONOMY	SP23	ZOOL356	3.00	B-	MAMMALOLOGY
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SP23	BOT 350	4.00	C-	PLANT TAXONOMY																																					
SP23	ZOOL356	3.00	B-	MAMMALOLOGY																																					
<p>2. Select the course that you want to swap out by clicking on the red X button next to the desired course.</p>	 <p>Swap Course Exception</p> <p>Subrequirement</p> <p>Complete the following courses:</p> <p>1. Swap Out 2. Swap In 3. Verify & Save</p> <p>Select course(s) you want to swap out:</p> <p>BIOL340 ✖</p> <p>FISH474 ✖</p> <p>Swapping Out:</p> <p>Select at least one course Cancel</p>																																								
<p>3. Click the Next button to move to tab 2</p>	 <p>Swap Course Exception</p> <p>Subrequirement</p> <p>Complete the following courses:</p> <p>1. Swap Out 2. Swap In 3. Verify & Save</p> <p>Select course(s) you want to swap out:</p> <p>FISH474 ✖</p> <p>Swapping Out:</p> <p>BIOL340 ✖</p> <p>Next Cancel</p>																																								

- If the course hasn't been taken yet, enter the dept. prefix and course number you want to swap in and click the Add button (plus sign)

Swap Course Exception

Subrequirement
Complete the following courses:

1. [Swap Out](#) 2. **Swap In** 3. [Verify & Save](#)

Find the course you want to use:

Dept	Course
<input type="text"/>	<input type="text"/>

Add

OR Select course(s) you want to swap In:

- (4 Units) C- PLANT TAXONOMY Fall 2023 **+**
- ZOOL354 (4 Units) RG **+**
- HERPETOLOGY
- WLDF495W (3 Units) RG **+**
- SENIOR PROJECT

Swapping In :

Back **Select at least one course** Cancel

- If the course was taken previously (at Cal Poly Humboldt or elsewhere), select from a list of courses the student has already completed (including transfer credit). Click the Add button (plus sign)
- Click the Next button to move to tab 3.

Swap Course Exception

Subrequirement
Complete the following courses:

1. [Swap Out](#) 2. [Swap In](#) 3. [Verify & Save](#)

Find the course you want to use:

Dept	Course
<input type="text"/>	<input type="text"/>

Add

OR Select course(s) you want to swap In:

- (4 Units) C- PLANT TAXONOMY Fall 2023 **+**
- WLDF495W (3 Units) RG **+**
- SENIOR PROJECT
- WLDF482 (1 Units) RG **+**
- WILDLIFE

Swapping In :

ZOOL354 **+**
[Add Date](#)
(4 Units)RG
HERPETOLOGY

Back **Next** Cancel

7. On the **Verify & Save** tab, confirm the proper courses appear.

8. Add **Audit Note** (will show up on DARS after approval)

9. **Add Internal Memo:** Be explicit in the memo to help clarify your request and ensure it is processed appropriately.

10. Click the **Save & Add Exception** button to route the request to the department chair.

The screenshot shows the 'Swap Course Exception' form. At the top, there are three buttons: '1. Swap Out', '2. Swap In', and '3. Verify & Save'. The '3. Verify & Save' button is circled in red. Below this is a link: 'Need to modify the subrequirement? Click here.' The main section is titled 'Subrequirement' and contains the text 'Complete the following courses:'. It lists 'Swapping In : ZOO354' and 'Swapping Out : BIOL340'. Below this, it says '(4 Units)RG HERPETOLOGY' and 'Into: Complete the following courses: Using pseudo of WLCBA1'. A red box labeled '7.' encompasses this entire section. Below the subrequirement section are two checkboxes: 'Restrict to this Degree Program.' (unchecked) and 'Restrict to this Requirement.' (checked). The next section is 'Audit Note' with a text input field containing 'Swap' and a red box labeled '8.' below it. The 'Memo' section has a text input field with the placeholder text 'Transfer or Cal Poly Humboldt course (school/term/etc.):' and a red box labeled '9.' below it. The 'Authorized by' field contains 'MLT15' and the 'Date' field contains '10/09/2023'. At the bottom, there is a green button labeled 'Save & Add Exception' with a red arrow pointing to it and a red box labeled '10.' next to it. There are also 'Back' and 'Cancel' buttons.

11. A confirmation message will display and you will receive an email confirmation.

Success! You have successfully requested an exception, once approved by the department and Office of the Registrar, the exception will show on the student's audit.

Department Chair/Program Leader – How to enter a decision.

When advisors submit exceptions, the chair will receive email notifications with a link to the [Pending Department exceptions](#) queue.

There is no need to save or follow up on every single “awaiting approval” email, just click the link the most recent “Awaiting Approval” email.

Or you can bookmark the following link and it will always take you to the most current version of your pending queue of exceptions: <https://apex.humboldt.edu/ords/f?p=121:1>

Chair/Program Leader FAQs:

What happens when a chair/program leader submits an exception request? Do I have to approve my own requests?

When the chair/program leader submits an exception for a program (and they are the ‘approver’ for that major or minor) it will automatically route to a graduation counselor. No, you do not have to re-approve your own requests. Note that if you are requesting a transfer swap as chair/program leader, the system automatically assumes you’d like this reviewed for future articulation.

What happens when a chair/program leader denies a request?

An email is sent back to the original requestor. You may add details in the memo which will be sent back to the requestor.

The Registrar’s Office is not notified but can view the status on the Exception status page (as can anyone else with access).

What is the “articulation approval” used for?

When approving a Swap exception request, you will be prompted to select if this substitution should be considered for future articulation or if this is a one-time exception.

For Cal Poly Humboldt courses, always select One-Time. If you are routinely making Humboldt-to-Humboldt course swaps, you may want to consider submitting a formal curriculum change request to the Academic Programs office.

For transfer courses, select either One-Time exception or Future Articulation to have the articulation team consider this course for articulation in the future. Selecting future articulation does NOT automatically approve the articulation, but the course is put into a queue for review.

Department Chair step-by-step instructions

Process Steps	Screenshot
<ol style="list-style-type: none"> 1. Visit the Department Pending Exception site to see all pending exceptions 2. Review the description, audit note, requestor and memo. 	<p>The screenshot shows a web interface titled "Department Pending Exceptions". It features a search bar with a "Go" button and an "Actions" dropdown. Below the search bar, it indicates "1 - 3 of 3" items. The main content is a table with the following columns: EMPLID (with a sort icon), Name, Major Code, Request description, Audit Note (Displayed on Audit), Requested by, Memo (Internal Comments), and Department approval. There are three rows of data, each with a green "APPROVE" button in the final column. The first row shows a swap course request for ANTH, the second shows a course removal for ERE, and the third shows a swap course request for ARSS.</p>

3. Three buttons to choose from: Approve, Deny or Run Audit.

“Run Audit” button will show the current DARS (without the exception).

Department approve	Department deny	Run current audit
APPROVE	DENY	Run Audit
APPROVE	DENY	Run Audit
APPROVE	DENY	Run Audit

4. Enter your decision – click Approve or Deny buttons. You can add additional text to the memo field (up to 255 characters). Approved exceptions are sent to the Registrar’s Office.

Note: for **SWAP** approvals, you also must choose an “Articulation approval” status.

Department Edit Memo/Notes

You are approving an exception request (add/change audit note/memo as needed)

EMPLID	Name	Dprog	Request type
.		CJS	Swap Course

Audit Note (Displayed on Audit - 27 characters max)

Course Swap

Memo (Internal Comments)

Rationale: Course Renamed
Transfer or HSU course (school/term/course info):

76 of 255

Articulation approval *

Future Articulations One-Time

Cancel Approve