# Financial Documents & Transactions

## General Roles/Responsibilities and Workflows

<table>
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| 1 a  | Unit Member/Employee or Reimbursee | • Initiates transactions  
• Completes necessary document with applicable supporting documentation | • Sends required information to Unit Budget Managers/PI. |
| b    | Unit Budget Manager/PI | • Signs off on appropriate documents authorizing the use of identified PSU owned or managed funds in accordance with PSU/USNH/external agency policies and procedures (except for PCards)  
• Note: PI signature is required on all grant documents/transactions | • Sends required information to Unit Administrative Support, if applicable, or sends information directly to the Financial Service Center. |
| 2    | Unit Administrative Support | • Assist individual above find necessary forms and/or understand general process  
• Reviews documents for completeness | • If complete, forwards to Financial Service Center  
• If incomplete, returns to individual that initiated document |

Note: Some forms require additional authorizing signatures so forms and/or their instructions need to be reviewed carefully. Also some Divisions may establish internal workflows so be sure to follow those steps, if/when necessary.
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| 3 a  | Financial Service Center staff member (via PSU-Contracts or FSC email) | • Reviews information for:  
  - compliance with PSU/USNH policy  
  - appropriate signing authority  
  - Assigns proper coding  
  - Ensures funding is available  
  - Process & completes transaction if not a grant or has Grant Administrator approval. | • If funding source is a grant, forwards to Grant Administrator  
  • If funding sources is not a grant and above signing/approval authority, forwards to Director of Fin. Operations or AVP for Finance & Admin.  
  • Payroll paperwork is forwarded to HR as necessary  
  • If item has an issue, returns to individual that initiated document (copy to UAS) |
| b    | Grant Administrator | • Authorizes expense ensuring allowability by the grantor  
  • Ensures PI signature was obtained | • Forwards to Director of Fin Operations or AVP for Finance & Admin if contract signature is required.  
  • If expenditure is allowed, sends to FSC for processing  
  • Payroll paperwork is forwarded to HR as necessary  
  • If item has an issue, returns to individual that initiated document (copy to FSC) |
| c    | Dir. of Fin. Operations or AVP for Fin. & Admin | • Reviews and signs as needed based on assigned authority | • Payroll paperwork is forwarded to HR as necessary  
  • If item has an issue, returns to individual that initiated document (copy to FSC) |
Hiring Forms - Student

- All hires must be approved by the President’s Cabinet before any hiring paperwork is submitted.
- Student and adjunct forms available on the HR website
  - Working to transition to online workflow hiring system
- Student hires
  - Detailed instructions on Finance Resources webpage
  - All student positions must have a job title, job description and be classified by HR
    - Student position description form available on the Financial Services website
    - Classification determines hourly rate options
  - All fields on the hire form must be filled in
  - Form must have signatures of the student, hiring manager, budget manager before being sent to the FSC for budget verification
  - FSC will use information provided on the form to confirm FOAPAL being used
Hiring Forms – Adjunct Staff

- Adjunct hires
  - All adjunct staff positions must be approved by President’s Cabinet before any hiring paperwork is submitted
  - Any adjunct hire related to grad assistants or teaching must be processed through the Provost office using their form
  - All other adjunct hires must be done on forms available on the HR website
    - NS-1 (adjunct staff appointment form) used to hire on an hourly basis (not used for students)
    - J-3 form (extra help appointment form) used to hire when paying a lump sum for a single or recurring non-teaching appointment
Processing Time Tables
(Estimated Lead Times required)

- Purchase >= $35,000 (requiring a bid) = minimum 4 - 6 weeks

- Contract review/signature:
  - PSU/USNH Standard Contract Form = 3-5 days
    (depends on: type of contract; time of year; day of week form received)
  - Vendor Contract = minimum 4 weeks

- Purchase Order Issuances:
  - Established Vendor = 3-5 days
  - New Vendor = 5-7 days
Purchasing

- Allow as much time as possible for the procurement process
- General guidelines
  - Between $0 and $9,999 – no competitive quote required but best practice showing due diligence of stewardship is multiple quotes
    - Note: Finance reserves the right to determine if the pricing seems fair and reasonable
  - Between $10K and $34,999 - 2-3 quotes required and all quotes must be submitted with request for purchase
  - Between $35K – 149,999K – a formal bid process required and will be led by USNH sourcing
- Use a contracted vendor whenever possible
- All requests for purchase orders, invoice payments, and PCard backup documentation must be submitted to your FSC for processing
Purchasing - continued

- Once budget verified by your FSC, purchasing support is provided by PSU Procurement and your FSC
- Goods may be purchased using a purchase order, direct pay, or Pcard
  - PCard is the last resort option for purchases
  - PCard limits and access are determined by the director of financial services
- Services may only be purchased using a purchase order
- Whenever possible, purchase via purchase order (based on a quote) and pay by check from an invoice
- While Pcards are suspended, FSC manager can assist with purchase
- UShopNH – Online procurement tool rolling out for fall
Contracts

• A contract is any document which commits resources (financial, space, personnel, etc.) of the institution to a supplier/agency/organization/individual in exchange for consideration, service, or product
  ◦ e.g., quote, order form, reservation form, MOU, contract, or anything else which requires a signature obligating university resources

• USNH/PSU contract templates should be used whenever possible
  ◦ Independent Contractor Agreement (ICA), Services contract, Standard Performance Agreement (SPA)
  ◦ Templates available on Finance Forms website

• Department/PI should initiate process with supplier/agency/organization/individual

• Contract must clearly outline responsibilities of supplier/agency/organization/individual and of PSU

• Draft contract must be sent to psu-contracts@plymouth.edu for review
  ◦ USNH contracts and procurement will be consulted if necessary
Contracts - continued

- If contract language is acceptable, the department will be informed that signatures can be collected
  - Supplier/agency/organization/individual signature
  - Operational signature indicating department/unit/PI support of the contract
  - Provost signature for all contracts in Academic Affairs
  - Return to psu-contracts@plymouth.edu for authorized campus signature
    - Grant Administrator signature for all grant-related contracts
- Only a handful of people on campus have signature authority (Signature Authority document)
Travel

• All business travel is prohibited until further notice
• Familiarize yourself with the updated travel policy on the USNH website
• Vehicle rentals must be arranged through the Enterprise portal
  o Information about the USNH vehicle rental program can be found here
  o Questions regarding vehicle rental should be directed to Debbie Grotheer in Compliance, Analysis, and Planning
• Completed reimbursement requests must be submitted to your FSC within 60 calendar days of your last date of travel.
  o Requests submitted after 60 days will need to be approved by the Director of Financial Services and will be considered taxable income if reimbursed
• When in doubt, reach out to your FSC for guidance
Personal Reimbursement

- Detailed instructions on Finance Resources webpage
  - Download Excel form each time you need to use it
- Review travel policy for allowable reimbursable expenses
- You must enter your USNH ID (9-digit number that begins with 9) – available in myPlymouth
- A detailed and justified business purpose must be entered for the form to be processed
- Backup documentation must be included (mileage chart or MapQuest, conference schedule, etc.)
- Required signatures must be obtained before form is submitted to FSC
- FSC will accept scanned images of the reimbursement form and associated backup, including receipts
- Incomplete or incorrect forms will be returned to the requestor for correction
- 60-day submission timeline also applies to non-travel reimbursements
Resources

- HR forms
- PSU Finance Resources
- PSU Finance Forms
- USNH Financial Services Policies and Procedures
Certificate of Completion
Budget/Finance 201 – Financial Services Training

Employee Name: ______________________________________
USNH ID: __________________________________________
Training Method: Online/Independent with Financial Svcs. Staff Member: _________________________ (name)
Training Completion Date: ______________________

I certify that I have successfully completed the Budget/Finance 201: Financial Services training and agree to accept the responsibilities set forth in the training materials:

Signature: __________________________________________ Date: _________________
Printed Name: ________________________________________

Send completed forms to the Compliance, Analysis and Planning Office, MSC 17