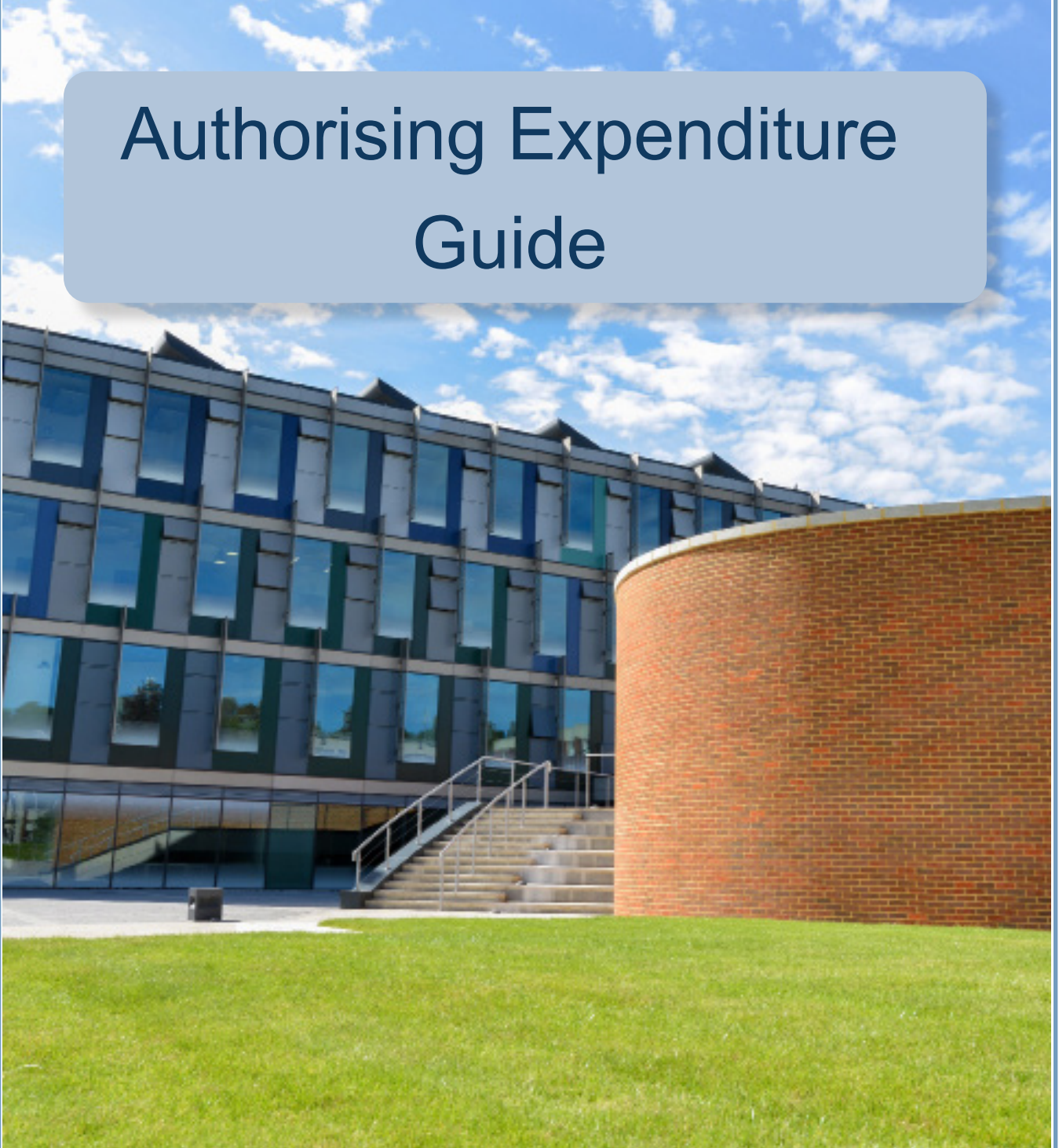


# Authorising Expenditure Guide



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## 1 What does this guide cover?

There are several ways to purchase goods and services at the University, including raising purchase orders, using purchasing cards, and purchasing and reclaiming out of pocket expenses. This guide will take you through your responsibilities in terms of authorising these activities, what to check when you are authorising and how to authorise and manage tasks in the Finance System.

**Part one** of this guide provides a summary of the University's rules for authorising expenditure, why they exist and how to ensure you follow them. **Part two** of this guide will show you how to manage authorisation tasks in both the Finance System and the mobile app. It will provide guidance on the type of authorisation tasks you will be asked to complete and the steps you should take for each.

### **Before reading this guide, or authorising any kind of expenditure, you should have:**

- ✓ Completed the 'Finance Essentials' e-learning course
- ✓ Completed the 'Using the Finance System' e-learning course
- ✓ Gained an understanding of purchasing goods and services via the guide and/or e-learning course
- ✓ Gained an understanding of travel and working away from base, hospitality and out of pocket expenses via the Guide and/or e-learning course.

### **By the end of reading this guide you should:**

- ✓ Understand the importance of the authorisation process to good financial management across the University
- ✓ Understand the different situations in which you need to authorise expenditure
- ✓ Know how to use the Finance System to authorise expenditure
- ✓ Know how to find further information, training and advice to support you in carrying out the finance related aspects of your role.

## 2 Who do I contact for further help?

This guide, along with the e-learning, endeavours to capture all of the essential information you need to know regarding authorising expenditure at the University. However, if you have any questions after reading this guide please visit the Finance Website [www.sussex.ac.uk/finance/](http://www.sussex.ac.uk/finance/) or contact the Service Desk at [FinanceServiceDesk@sussex.ac.uk](mailto:FinanceServiceDesk@sussex.ac.uk).

## 3 Feedback and comments

We value your feedback and would be grateful for any comments on how to improve this guide. Please email [FinanceServiceDesk@sussex.ac.uk](mailto:FinanceServiceDesk@sussex.ac.uk) with your comments and feedback.

## 1 The financial framework

The regulatory environment within which the University operates creates a series of requirements the University must meet. **For authorising expenditure the key requirements are:**

- To ensure the University is compliant with its legal requirements
- To ensure Value for Money is achieved and demonstrated in all its purchases to students, funders, government and other stakeholders
- To ensure that expenditure is undertaken to achieve agreed objectives within approved budgetary targets.

In order to meet the requirements the University has put in place a financial framework. **The key elements are:**

### The Financial Regulations

The Financial Regulations are the rules laid down by the University that you need to follow. They make up the core of the financial framework. They are designed to ensure the proper and efficient use of resources within a sound system of internal control that supports the achievement of policies, aims and objectives and that fulfils any legal, financial or regulatory obligations.

The Regulations set out specific responsibilities for individuals and categories of individuals associated with the University.

### Purchasing Policy

The Purchasing Policy sets out the University's expectations with regard to the purchase of all goods and services in order to achieve the best possible Value for Money for the University.

#### This policy applies to:

- All purchases of goods and services irrespective of the source of funding
- All purchases undertaken by a member of staff in connection with their University duties
- All purchases undertaken by any individual authorised to undertake purchasing activity on behalf of the University.

The University's Delegations Policy sets out the delegated authority to authorise and to commit funds within budget.

### Systems

The finance systems record the financial transactions of the University in the required form and also facilitate users in their adherence to the Financial Regulations and policies and procedures.

The process for authorising expenditure is embedded within the Finance System to ensure that expenditure is reviewed to confirm that it is affordable, necessary and recorded against the appropriate budget.

## 2 Why is the financial framework important to me?

It is important that all staff authorising expenditure understand their responsibilities within the financial framework.

### Value for Money

The University aims to achieve Value for Money in all of its activities. For purchasing, this is achieved through acquiring goods and services from the right supplier in the most cost effective way. This applies to all methods of purchasing such as purchase orders, purchasing cards and out of pocket expense claims. Achieving Value for Money requires a judgement to be made which balances the benefits derived from the goods and services against the total cost of buying and using them.

When authorising expenditure you will need to ensure that you are satisfied that there is sufficient evidence to show that best Value for Money has been obtained, particularly for those purchases where alternative suppliers have been selected or where the quotation with the lowest price has not been selected.

### Judgement

By their nature certain expenditure relating to personal travel, accommodation, entertaining and similar situations require significant judgement to be applied to ensure Value for Money from University funds. In addition, purchasing card and out of pocket expenses offer reduced financial and budgetary control and place more reliance on staff to identify Value for Money. Owing to these limitations and risks the use of purchasing cards and out of pocket expense claims may be subject to regular review by the University's Internal Auditors.

Under the Freedom of Information Act the University regularly discloses information in relation to financial transactions. There is significant public interest and the importance of having clear rules correctly applied cannot be overstated.

### Compliance

Failure to comply within the requirements of the financial framework may lead to disciplinary or other appropriate action against staff. Any purchase that appears to be deliberately falsified, inflated or otherwise fraudulent will be investigated under the procedures outlined in the Fraud Response Plan. Individuals need to ensure that they understand and adhere to their responsibilities.

The Purchasing Policy sets out the minimum controls expected. Heads of School and Directors of Professional Services are responsible for compliance within their areas of responsibility and may have additional local procedures to ensure Value for Money and good financial management which should be followed, where applicable.

Purchasing card and out of pocket expenditure is retrospective after the commitment has been made so it is important to recognise that other controls may be needed, such as clear understanding, pre-approval or other local procedures.

### Budget

As an authoriser of expenditure your Senior Manager has delegated to you the responsibility to ensure that all expenditure using funds within your control is properly managed to meet the University's objectives, is affordable within the approved budget and provides Value for Money.

# 3 Principles of authorisation

Heads of School and Directors of Professional Services are responsible for overall financial management within their Schools and Divisions. Delegation of some day-to-day financial management responsibilities will be permitted to named individuals with a paid contract of employment, within their School or Service, in accordance with the Financial Delegations Policy and with the prior written approval of the Director of Finance. You must ensure that you have identified substitutes to cover your authorisation responsibilities whilst you are away from the University. However, the overall responsibility remains with the Head of School or Director of Professional Service.

It is therefore essential that you understand specifically what you are providing authorisation for and do not rely on the previous or subsequent person in the authorisation chain to undertake all checks, as you may be confirming authorisation for different elements.

You cannot authorise purchases you have initiated. At least two independent individuals are required when making commitments for goods and services, and to authorise payment for these goods or services on behalf of the University. This is referred to as 'segregation of duty' and is in place to give sufficient scrutiny to ensure Value for Money, as well as reducing the risk of errors and fraudulent activity.

### Setting up a delegated authority

To set up a delegated authority you will need to complete a Delegated Authority Request form, which can be found on the Finance website: [www.sussex.ac.uk/finance/how/approvalsanddelegatedauthority](http://www.sussex.ac.uk/finance/how/approvalsanddelegatedauthority)

## 4 What should I consider before authorising expenditure?

If you are a senior budget holder, budget holder or a PI, you are responsible for ensuring purchases are made in accordance with the Financial Regulations, Purchasing Policy and any local procedures.

Depending on the circumstances, you may be the final decision maker who commits the University funds, or you may be recommending action to the final decision maker. In both cases you need to be confident that you can explain any relevant judgements that you have made, and can answer the following three questions.

### 1 Is the purchase necessary and is there sufficient budget?

To the best of your knowledge, is the planned expenditure required to meet the School/ Department/Division/Research project's objectives?

If the planned expenditure results in an overspend, has this been identified and explained, with alternative funding identified and confirmed to cover the overspend?

If you are purchasing high value items, has consideration been given to the method and affordability of their upkeep and security?

### 3 Does the authoriser have all the information needed to authorise the expenditure?

The authoriser must ensure the description and supporting documentation presented (such as receipts and quotations) are complete and legible, in accordance with the guidance on the Finance website, so that the right authorisation decision can be made.

It is also important that expenditure is properly recorded to support effective and accurate planning, monitoring and decision making. For example, has the correct subproject and expense code been selected?

### 2 Has the University Purchasing Policy and process been followed?

General purchases require a value for money judgement to be made that balances the benefits derived from the goods and services against the total cost of buying and using them.

This is particularly important for purchases in relation to discretionary items (such as hospitality, travel and out of pocket expense claims), which may require increased judgement due to their particular circumstances. This can often only be exercised by those with a close understanding of the context and relative importance of the expenditure.

If you are in any doubt you should consider if you would be comfortable justifying the expenditure to a third party (such as University students), as you must feel confident you would be able to do this. **See Appendix 1 for a reminder of items which are not an appropriate use of University funds.**

The University Purchasing Policy outlines how to identify the right supplier, and the different methods of purchasing in an order of preference. It also illustrates the process you should follow based on the value of your purchase.

**See Appendix 2 for a reminder of the policy rules in relation to the value of purchases.**

**See Appendix 3 for a reminder of how to find the right supplier.**

**See Appendix 4 for a reminder of the preferred ways to purchase and the order of preference.**



### 5 The importance of getting it right

Once a purchase has been authorised there are no other routine checks of compliance with policy or standards of information. Therefore it is essential that you are completely satisfied that the expenditure can be authorised and that the purchase represents an appropriate use of University funds.

Transactions may be subject to review by the University's Internal Auditors or be subject to Freedom of Information requests so it is essential that a third party can understand the decision that you have made.

If you do not have sufficient information to make an authorisation decision, you should either park or reject the task. You should never assume that this information exists if it is not clearly evidenced. By authorising a task, you are confirming that you have reviewed and accepted all supporting documentation.

### 6 What are the different authorisation tasks?

All authorisations must be completed on the Finance System or mobile app and follow the same process and principles. You will receive automated emails when you are required to authorise expenditure, which will include specific guidance for actioning your task.

**Following your consideration of any expenditure for authorisation, you will need to take one of the following actions:**



Approve

This will complete your authorisation of the transaction in the workflow. You can add additional information to justify your authorisation if required.



Reject

This will reject the transaction back to the initiator and you will need to provide your reason for this.



Park

This allows you to exit from the transaction if you need further time to review. You will need to authorise or reject once your review is completed.

There are several different types of authorisation task you may receive depending on the chosen purchase route. The following pages explain this further.

### 1 Purchase orders

The Finance System will automatically workflow your authorisation tasks in accordance with the delegated authority you have been given.

All expenditure will require budget holder authorisation and expenditure above £10,000 will require a secondary authorisation by Head of School or Director of Professional Service. There are also some additional authorisation requirements depending on the amount and type of expenditure. The details of these are included in the Financial Delegations Policy found on the Finance website.

**The different authorisation tasks for purchase ordering are:**

<b>REQUISITIONS</b>	
<b>Finance System description</b>	
REQ Approval - Budget holder	This is the first authorisation step for requisitions. You will receive this where you are the budget holder.
Budget Holder Over Budget REQ	If a requisition would result in an overspend on the budget it will require a second level of authorisation from the Head of School or Director of Professional Services.
Head of School/ Division - REQ Approval	Additional authorisations are required for the following: <ul style="list-style-type: none"> <li>• The requisition is over £10,000</li> <li>• The requisition is over budget for any research project</li> <li>• The requisitioner and the authoriser are the same person</li> </ul>

<b>INVOICES</b>	
<b>Finance System description</b>	
Budget Holder: INV Out of Tolerance	Invoices are marked as Out of Tolerance when they exceed the purchase order line/s by more than £20 or the items invoiced do not match the purchase order (for example delivery charge had been omitted on the order).
Head of School / Division: INV Out of Tolerance	Invoices are marked as Out of Tolerance when they are over £10,000 and do not match the purchase order lines/s or the items invoiced do not match the purchase order, for example delivery charge had been omitted on the order, or where Out of Tolerance invoices have been raised by the budget holder.

### 2 Purchasing cards

Unlike purchase ordering the authorisation of purchasing cards is retrospective once the purchase has been made, but it is equally important to ensure the appropriate use of University funds and segregation of duties.

All purchasing card individual transactions are authorised by the budget holder, except those that are greater than £10,000 which are authorised by the Head of School or Director of Professional Service.

**The different authorisation tasks for purchasing cards are:**

Finance System description	
Budget Holder: PCARD Approval	To authorise all purchasing card individual transactions up to £10,000.
Head of School / Division: PCARD Approval	To authorise all purchasing card individual transactions over £10,000 or all transactions undertaken by budget holders.
Senior Line Manager: PCARD Approval	To authorise all purchasing card transactions undertaken by Heads of School / Directors of Professional Services.

Heads of School and Directors of Professional Service have a responsibility to ensure that card-holders complete their purchasing card tasks on time.

### 3 Out of pocket expenses

Unlike purchase ordering the authorisation of out of pocket expense claims is retrospective once the purchase has been made, but it is equally important to ensure the appropriate use of University funds and segregation of duties.

All out of pocket expense claims are authorised by the budget holder, except those that are greater than £500 which are authorised by the Head of School or Director of Professional Service.

**The different authorisation tasks for out of pocket expenses are:**

Finance System description	
EXP Approve Claim (Budget Holder)	To authorise all expense claims up to £500.
EXP Approve Claim (Head of School / Division)	To authorise all expense claims over £500 or all expense claims undertaken by budget holders.
EXP Approve Claim (Senior Line Manager)	To authorise all expense claims undertaken by Heads of School / Directors of Professional Services.

**i** All types of authorisation can be undertaken using the Finance System and this guide provides instructions for the following authorisations: requisitions, out of tolerance invoices, supplier invoices, purchasing card tasks and expenses.

To support efficient working the following authorisations can also be undertaken using the mobile app: requisitions and expenses. Guidance on using the mobile app can be found in sections 8, 9 and 10 of this chapter.

## 1 How to navigate your task list and set up a substitute

**i** There are several types of task you may be prompted to action in the Finance System. You will be informed about new tasks via email, which will provide detailed instructions on how to action your task. The process for authorising expenditure is the same for each type of authorisation.

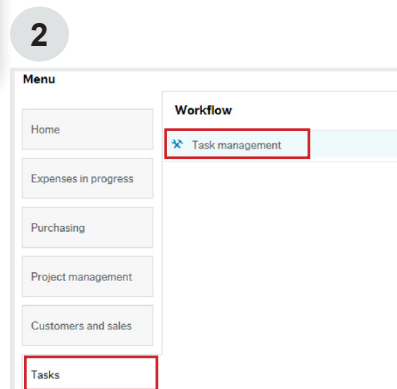
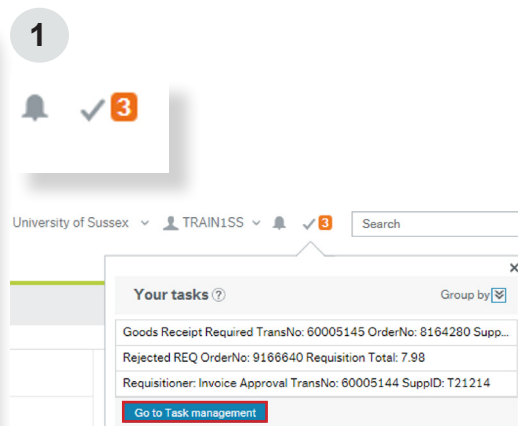
For guidance on accessing your tasks via the mobile app please see the section on using the mobile app further on in this guide.

### How to navigate your task list:

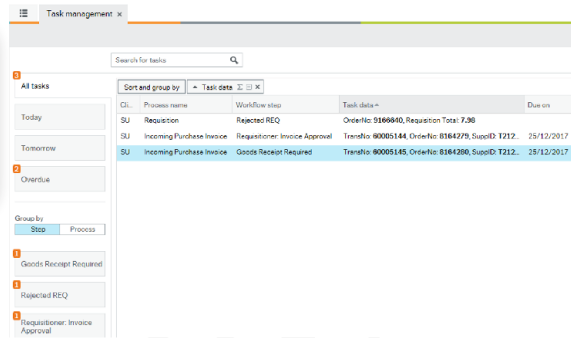
There are two ways to access an authorisation task in the Finance System:

- 1. Via the Task icon** in the top right of the screen. This icon will also display how many tasks you have.  
Click on the icon and a drop down a list of tasks will appear for selection, or click on Go to Task management for a more detailed list.
- 2. Alternatively, navigate via the main menu.** Click on Tasks, then Task management.

The task manager screen will now be displayed.

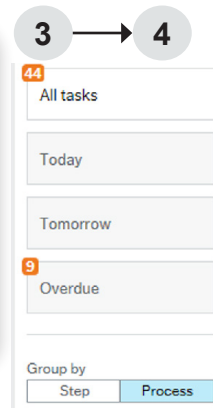


**i** If there are no tasks displayed when you first open the task manager, click the refresh button in the top right corner and this will reload any tasks which require action.



## Task bar

- All tasks** will default to your total number of tasks.
- Due dates are now visible on invoice tasks**, which allows you to see if your tasks relate to invoices which are due to be paid Today, Tomorrow or Overdue.

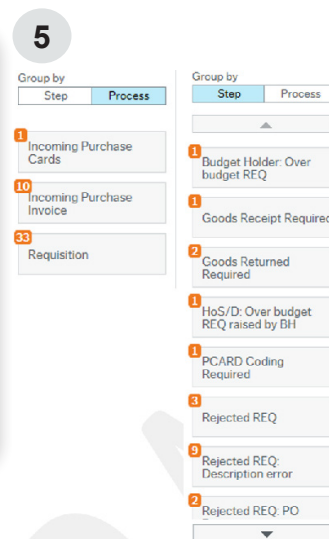


## Displaying your tasks

- You can group your tasks by step or by process:**

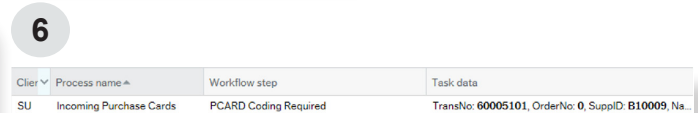
Grouping by Process will show you each type of authorisation.

Grouping by Step will show you where the step is in the workflow. This will provide more information about the task, for example whether it is an over-budget authorisation.



## Viewing & Sorting Data:

- You can drag across the fields** on the right to reveal more task details if they are compressed or not easily visible.
- You can also click on the fields** to sort by that field. For example, if you click on Name then your tasks will be grouped by supplier name. This will only work if the tasks have been grouped by Process.



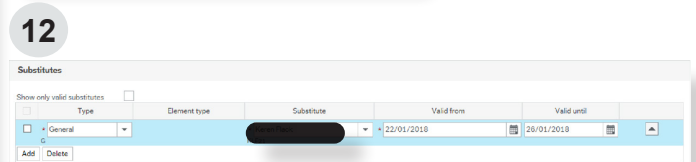
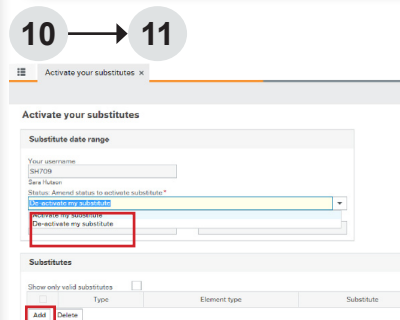
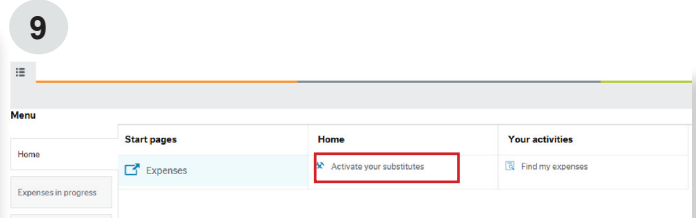
## How to set up a delegated authority:

**i** If you are away from the University, and unable to access tasks on the Finance System, you will need to set up a delegated authority to receive your tasks in your absence. You should complete a Delegated Authority Request Form, which can be found on the Finance Website.

### Setting up a delegated authority

8. Once your named delegated authority has been added to your account, you can activate it by logging into the Finance System.
9. From the Home screen, select Activate your substitutes.
10. From the drop-down menu, select Activate my substitute.
11. Click Add
12. Select your delegated authority from the drop-down list, then enter the Valid from and Valid until dates i.e. the dates you are away.
13. Click Save

Note: All task/s will be sent to you and your delegated authority during the selected dates.



# 2 How to use the Finance System to authorise requisitions

1. **Log-in** to the Finance System.
2. **Click on** the Task icon on the far right of screen.
3. **Select** Go to Task Management or select the task from the drop down list.
4. **Select** the requisition task/s
 

**Note:** If there are not enough funds (budget) to cover the cost of the proposed purchase the system will display Over budget in the task name.
5. **Select** the requisition task you wish to action.
6. **The Requisition Approval screen will load.** This screen displays the following:
  - Guidance/instructions for actioning the task
  - The name of the person who raised the requisition (Resource)
  - The message from the user - entered by the requisitioner
  - The Workflow Log, listing all process steps
  - The Requisition details detailing the individual goods/services and product/s
  - Product text detailing additional product information entered by the requisitioner
  - The Finance Codes detailing the subproject each product has been coded to the Tax Code, and whether the cost for that product has been split across multiple subprojects
  - Action buttons at the bottom of the screen
  - Funds Check and Funds check results where you can view the available funds for each subproject within the requisition.
7. **Review** the requisition and consider these questions as detailed in Part One of this guide:
  - Is the purchase necessary and is there sufficient budget?

**2**

**4**

**2** REQ Approval

**3** Budget Holder: Over budget REQ

**5**

Client	Process name	Workflow step	Task data
SU	Requisition	REQ Approval	OrderNo: 9166639, Requisition Total: 500.00
SU	Requisition	REQ Approval	OrderNo: 9166630, Requisition Total: 500

**6**

**Requisition approval**

This order requires your approval as the primary approver. Please check that the order is correct and approve/reject stating reason(s), or park if under review. Add comments to support your approval/rejection.

**Requisition information**

Resource: TRAINING 1 SELF SERVICE Requisition number: 9166639  
 Updated: 16/01/2018  
 Arts & Porters Lodge  
 University of Sussex  
 Falmer  
 Brighton  
 Sussex  
 BN1 9SH  
 United Kingdom

**Workflow Log**

16/01/2018 10:08 TRAINING 1 SELF SERVICE (TRAINISS) - Distributed

Enter a comment

Copy

**Message from user**

comments added by Requisitioner will appear here

**Requisition details**

Map	Status	Funds check	Currency	Curr. amount	Quantity	Price	Product	Product descr...	Supplier	Supplier name	Status
			GBP	500.00	1.00	500.00	PPB02	Printing for c...	S17277	Sussex Estat...	Active
				500.00							
Σ											

**Product text**

Additional product information will appear here

**Finance Codes**




Map	Status	Funds check	Account	Costo	Project	Subproject	Servctr	Pa/ch	Tax code	Tax system	Percentage	Amount
			8210	DS	DS002	DS002-05	W123456		PO	PR	100.00	500.00
											100.00	500.00
Σ												

- Does the purchase represent Value for Money and has the Purchasing Policy been followed?
- Has the correct process been followed to identify the best Value for Money Supplier?
- Has the preferred way to pay been selected?
- Is there sufficient supporting information?
- Is the purchase correctly recorded?

8. To view attached documents click on the paperclip icon.

9. Click on Funds check to view the available funds for the subproject. The Finance System will check if there are funds (Budget) against the subproject to cover the expense of the proposed requisition.

There are 3 possible icons that will appear against each line of the Requisition details tab in the Funds check column. These are:

- Funds overspent (over budget) 
- Funds available (within budget) 
- Funds available, but remaining funds less than 10% 

10. To view the funds check results in detail, click on Funds check results. This will show you the detail per subproject budget.

Click on each subproject line to view the available budget results. The results include the requisition you are raising and VAT.

11. If the requisition is over budget:

- The requisitioner would have been prompted to add a comment, to facilitate your review. This will be visible in the Workflow log section within the approval screen
- The Requisition approval task name will display >budget
- The authorisation action button will be displayed as Approve – Over Budget
- If you authorise the requisition you will be prompted to add a comment to justify the

8






9

Funds check

Funds check results

10

Icon	Sub Project	Amount
	DS002-02	100.00
	DS002-05	100.00
	DS003-01	8,000.00

Available budget definition	Period from	Period to	Budget amount	Remaining budget
Annual	201801	201812	27,520.00	0.00
			Over budget amount:	1,060,184.36

11

**2** Budget Holder: >budget  
VAT exempt REQ

Approve - Over Budget

Reject

Park

Advanced mode

Enter your comment

Approve - Over Budget



overspend. This will be visible to any subsequent authorisers to facilitate their review.

**12. Once reviewed** you can action the whole requisition by selecting one of the following:

- **Click Approve** to complete your authorisation of the requisition. If the requisition is over budget the action button will be displayed as Approve – Over Budget and you will be required to enter a comment.
- **Click Reject** to reject the requisition back to the claimant. You will need to enter a reason for your rejection.
- **Click Park** to exit from the task if you need further time to review. You will still need to authorise or reject the requisition once your review is completed. You will need to enter a reason for why you have parked the requisition.

You may wish to action the requisition line by line which can be done by clicking Advanced mode. In this mode you can tick the relevant line/s, click on the appropriate action button, and click Save within the Requisition details section.

Note: In Advanced mode each rejected line requires a comment to be added to the Workflow log within the approval screen.

To return back to processing the whole requisition, click on Simple mode.

**13. When you have completed a task**, the system will provide a confirmation message and load your next expense claim.

13

✓ **The task is successfully processed.**

Please wait while your next task is presented.

# 3 How to use the Finance System to authorise out of tolerance invoices

**Note:** You are unable to action invoice approval tasks via the mobile app.

1. **Log-in** to the Finance System.
2. **Click on** the Task icon on the far right of screen.
3. **Select** Go to Task Management or select the task from the drop down list.
4. **Select** the Invoice task/s.
5. **Select the invoice you wish to action.**

Note: You can expand the column width in Task Management to display further information.

Note: The invoice due date will appear against each invoice task in the Due on column.

Depending on the type of invoice you selected the appropriate authorisation screen will appear:

- **INV Out of Tol** tasks will provide you with a Purchase invoice approval screen
- **INV No PO** tasks will provide you with a Supplier invoices approval screen.

6. **The Purchase Invoice Approval screen will load.**

7. **Guidance/instructions for actioning the task** will be displayed at the top of the screen and will explain why the invoice is out of tolerance. The guidance notes will change depending on the type of out of tolerance task you have. The three types of out of tolerance are:

- Invoice >£20 than the whole Order
- Invoice >£20 than the whole Order and the Invoice has extra line/s that were not included in the original order
- Invoice has extra line/s that were not included in the original order.

8. **The invoice has been authorised** by the requisitioner prior to the authorisation task reaching you. To view their comments please

2



3

**Your tasks** Group by

Budget Holder: INV Out of Tol TransNo: 60000690 SupplID: K12175
Budget Holder: INV Out of Tol TransNo: 60009119 SupplID: 14
Budget Holder: INV No PO number TransNo: 60010046 OrderNo: 0 Su...
Budget Holder: Over budget REQ OrderNo: 9166608

[Go to Task management](#)

5

Sort and group by	Process name	Workflow step	Task data	Due on
SU	Incoming Purchase Inv...	Budget Holder: INV Out of Tol	TransNo: 60009119, OrderNo: 8164491, SupplID...	01/02/2018
SU	Incoming Purchase Inv...	Budget Holder: INV Out of Tol	TransNo: 60000690, OrderNo: 8164032, SupplID...	16/11/2017

6

**Purchase invoice approval**

1 Enter against the additional cost / lines or reject with comments outlining the action Finance should take.

2 Invoice Out of Tolerance. The Invoice is greater than the Purchase Order by more than £20. There are extra lines on the invoice that are not on the Purchase Order.

3 Purchase invoice information

Supplier	Office Depot UK Ltd (Purchase)	OrderNo	8163716
InvoiceNo	TX5 27345	Total invoice amount	50.00
Invoice date	20/01/2018	To be approved	16.18
Due date	27/02/2018	VAT amount	2.70
Transaction number	60010006	Currency	GBP

Invoice image/s will appear here

4 Workflow Log

30/01/2018 14:59 User: Piers - Distributed  
 20/01/2018 11:13 To Stop: Approved - Requisitioner has Reviewed - "Line 1: used old price in error. New line 01200 was wrongly changed that I forgot to add to review. line is correct"

(Enter a comment)

Copy

Order lines

Order line	Currency	Inv. qty	Inv. price	Inv. amt.	Order qty	Order price	Order amt.	Product description
1	GBP	1.00	10.00	10.00	1.00	7.20	7.20	Office Depot Site Files 250gsm Assorted - Pack of 50
Σ 10.00								

Show all

Purchase invoice details

Map	Order	Status	Currency	Cur. amount	Net Amount	Subproject	OrderNo
			GBP	22.00	10.00	DS002-02	8163716
			GBP	16.18	13.48	WM001-01	8163716
			GBP	50.00	50.00	DS270-01	8163716
			GBP	21.82	21.82	DS002-02	8163716
Σ				0.00			

Approve - Out of Tolerance | Reject | Park | Advanced mode | Workflow user log | Log book | Export

see the workflow log.

**9. The Approval screen will also display:**

- The summary invoice information, including the amount to be approved
- An image of the invoice (one or more pages)
- The purchase order lines that differ from the invoice
- The invoice lines that require approving
- Action buttons at the bottom of the screen.

**10. Please review the invoice** and view attached documents by clicking on the paperclip icon.

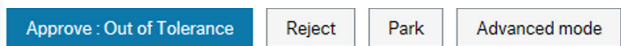
10



**11. Once reviewed** you can action the whole requisition by selecting one of the following:

- **Click Approve: Out of tolerance** to authorise all lines.
- **Click Reject** to reject the whole invoice back to Finance. You will be prompted to enter a comment advising Finance in detail why the invoice has been rejected.
- **Click Park** to exit from the task if you need further time to review. You will still need to authorise or reject the invoice once your review is complete. You will need to enter a reason for why you have parked the invoice.

11



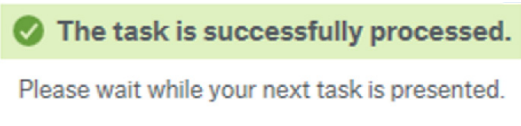
You may wish to action the invoice line by line which can be done by clicking Advanced mode. In this mode you can tick the relevant line/s, click on the appropriate action button, and click Save within the Purchase invoice details section.

Note: In Advanced mode each rejected line requires a comment to be added to the Workflow log within the approval screen.

To return back to processing the whole invoice, click on Simple mode.

**12. When you have completed a task**, the system will provide a confirmation message and load your next expense claim.

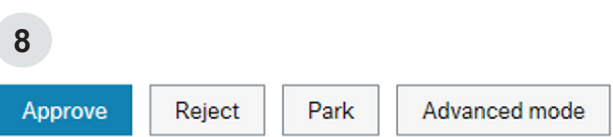
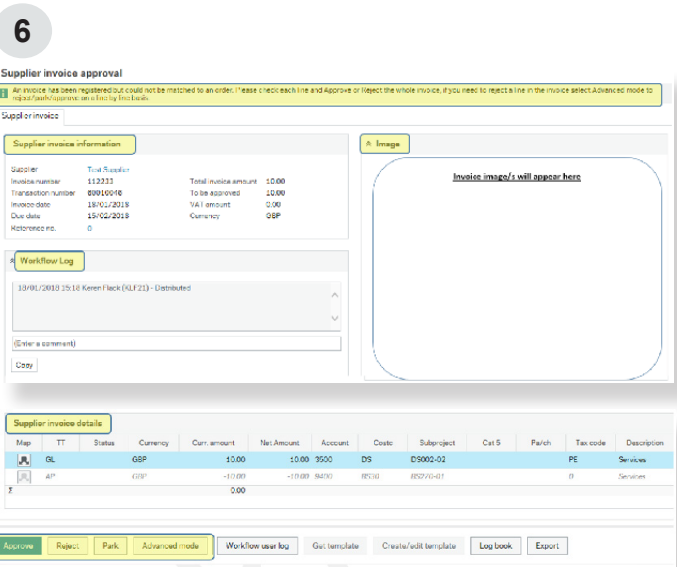
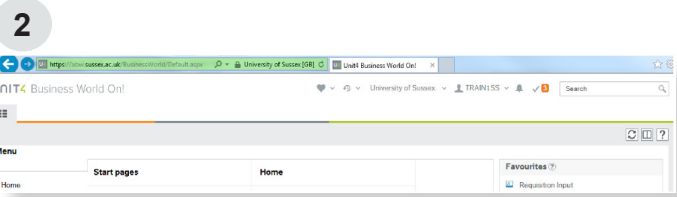
12



# 4 How to use the Finance System to authorise supplier invoices (which are not matched to a purchase order)

1. **Log-in** to the Finance System.
2. **Click on** the Task icon on the far right of screen.
3. **Select** Go to Task Management or select the task from the drop down list.
4. **Select** the Invoice task/s.
5. **Select the invoice you wish to action.**
6. **The Supplier Invoice Approval screen will load.** This screen displays the following:
  - Guidance/instructions for actioning the task
  - The Supplier invoice information displaying summary invoice information, including the amount to be authorised
  - The Workflow Log, listing all process steps
  - An image of the invoice (one or more pages)
  - Supplier invoice details list **the invoice lines in bold that require authorising**. The grey line/s are for accounting purposes only
  - Action buttons at the bottom of the screen.
7. **Please review the invoice** and view attached documents by clicking on the paperclip icon.
8. **Once reviewed** you can action the whole requisition by selecting one of the following:
  - **Click Approve** to authorise all lines.
  - **Click Reject** to reject the whole invoice back to Finance. You will be prompted to enter a comment advising Finance in detail why the invoice has been rejected.
  - **Click Park** to exit from the task if you need further time to review. You will still need to authorise or reject the invoice once your review is complete. You will need to enter a reason for why you have parked the invoice.

You may wish to action the invoice line by line which can be done by clicking Advanced mode. In this mode you can tick the relevant line/s,



click on the appropriate action button, and click Save within the Supplier invoice details section.

Note: In Advanced mode each rejected line requires a comment to be added to the Workflow log within the approval screen.

To return back to processing the whole invoice, click on Simple mode.

- 9. When you have completed a task**, the system will provide a confirmation message and load your next task.

9

✓ **The task is successfully processed.**

Please wait while your next task is presented.

# 5 How to use the Finance System to authorise purchase card tasks

**i** You will receive an email notification from the Finance System when you have an authorisation task. The title of the task will vary depending on the amount to authorise and the person who has undertaken the purchasing - as shown in the table opposite.

Finance System description	
Budget Holder: PCARD Approval	To authorise all purchasing card individual transactions up to £10,000.
Head of School/ Division: PCARD Approval	To authorise all purchasing card individual transactions over £10,000 or all transactions undertaken by budget holders.
Senior Line Manager: PCARD Approval	To authorise all purchasing card transactions undertaken by a Head of School or Director of Professional Service.

1. **Log-in** to the Finance System
2. **Click** on the Task icon on the far right of screen.
3. **Select** Go to Task Management or select the task you wish to action.

Note: There is one task for each purchase card.

4. **The PCARD Approval screen will load.** This screen displays the following:
  - Guidance/instructions for actioning the task
  - The statement information displaying summary transaction information, including the amount to be authorised and the Supplier Barclaycard
  - The Workflow Log, listing all process steps and tasks completed by card holder
  - Action buttons at the bottom of the screen

5. **Review** the transactions, ensuring that they are supported by adequate descriptions, and click on the blue paper-clip at the top of the screen to view images of corresponding receipts. Receipts should be clear and show relevant details to meet VAT requirements.

If images are not attached, please ensure you have reviewed physical receipts or images

2

3

3

4

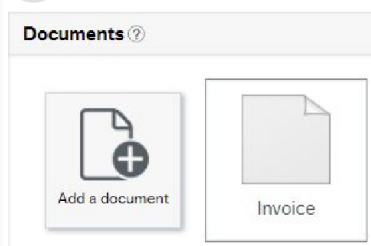
stored locally.

6. **Once reviewed** you can action the statement by selecting one of the following:

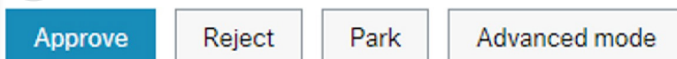
- Click Approve to authorise all lines.
- Click Reject to reject the task back to the card-holder. You will be prompted to enter a comment advising them in detail why it has been rejected.
- Click Park to exit from the task if you need further time to review. You will still need to authorise or reject the statement once your review is complete. You will need to enter a reason for why you have parked the statement.

7. **When you have completed a task**, the system will provide a confirmation message and load your next task.

5



6



7

✓ **The task is successfully processed.**

Please wait while your next task is presented.

**i** Cash withdrawals (which are shown on account code 3120) also require budget holder authorisation so that the budget holder is aware of the amount of cash withdrawals by the card-holder.

There are no receipts attached for review because the purchases are recorded and properly authorised by the card-holder raising an Out of Pocket Expense claim for the individual purchases.

# 6 How to use the Finance System to authorise out of pocket expenses

1. **Log-in** to the Finance System.
2. **Click on the Task icon** on far right of the screen.
3. **Select** Go to Task Management or select the task from the drop down list.
4. **Select your task/s** by either Group or Process.
5. **Select the expenses task** you wish to action.
6. **The expenses approval screen will load.** This screen displays the following:
  - Guidance/instructions for actioning the task
  - The claimants name
  - The purpose for the expense, entered by the claimant
  - Any comments entered by the claimant
  - The Workflow log, listing all process steps
  - The expense line/s, detailing individual items within the claim
  - A Receipt tick box, indicating there is a receipt matched to the expense line/s
  - Expense details, i.e. where the claim has been coded (subproject) and the date the expense occurred
  - Action buttons at the bottom of the screen.
7. **To view the receipt images(s)** click on the expense line then click on the paperclip icon. The receipts matched to this line will be displayed for selection.
8. **You will need to review the claim** and consider the questions detailed in Part One of this guide:
  - Is the purchase necessary and is there sufficient budget?
  - Does the purchase represent Value for Money and has the Purchasing Policy been followed?

**2**

**3**

**3** EXP Approve claim (Budget Holder)

**6** Staff Expenses

**4**

Sort and group by

Cli...	Process name	Workflow step	Task data
SU	Staff Expenses	EXP Approve claim (Budget Holder)	TransNo: 7045788
SU	Staff Expenses	EXP Approve claim (Budget Holder)	TransNo: 7045778
SU	Staff Expenses	EXP Approve claim (Budget Holder)	TransNo: 7045760

**5**

**6**

**Staff Expenses Claim approval**

Please review the expense claim and approve/reject. Please provide specific correction instructions to the claimant in the Workflow Log if you reject a claim. You can use the Advanced Mode button to Approve, Reject or Park; the expense claim line by line.

**General**

Name: Jo Bloggs Resource ID: 123

Transaction number: 7045719 Purpose: Test

Comment: Additional information added by the claimant

OK

**Workflow Log**

07/11/2017 14:51 Distributed Jo Bloggs

Enter a comment

Copy

Map	Expense type	Description	Mileage	Rate	Amount	Receipt
	Airline Costs	3 test trip	0.0000	0.0000	10.00	<input type="checkbox"/>
	Books/Magazines/Periodicals	2 a pretty calendar for the office	0.0000	0.0000	10.00	<input checked="" type="checkbox"/>
	Stationery	3 a pen	0.0000	0.0000	50.00	<input checked="" type="checkbox"/>
					155.00	

**Expense details**

Expense type: Airline Costs Date: 07/11/2017 Description: 3 test trip

Amount: 10.00

Finance Codes

Costc: DS Subproject: DS002-02 Tax system: PR

Approve Reject Park Advanced mode Log book Export

**7**



- Has the correct process been followed to identify the best Value for Money Supplier?
- Has the preferred way to pay been selected?
- Is there sufficient supporting information?
- Is the purchase correctly recorded?

**9. Once you have reviewed the task** you can action the whole claim in one of the following ways:

- **Click Approve** to complete your authorisation of the task.
- **Click Reject** to reject the claim back to the claimant. You will need to enter a reason for your rejection.
- **Click Park** to exit from the task if you need further time to review. You will still need to authorise or reject the claim once your review is completed. You will need to enter a reason for why you have parked the claim.

You may wish to action the claim line by line which can be done by clicking Advanced mode. In this mode you can tick the relevant line/s, click on the appropriate action button, and click Save within the Expense details section.

Note: In Advanced mode each rejected line requires a comment to be added to the Workflow log within the approval screen.

To return back to processing the whole claim, click on Simple mode.

**10. When you have completed a task**, the system will provide a confirmation message and load your next task.

9

Please review the expense claim and approve/reject. Please provide specific correction instructions to the claimant in the Workflow Log if you reject a claim. You can use the Advanced Mode button to Approve, Reject or Park the expense claim line by line.

**General**

Name: Jo Dloggs      Resource ID: 122

Transaction number: 7045719      Purpose: Test

Comment: additional information added by the claimant

OK

**Workflow Log**

07/11/2017 14:51: Jo Dloggs Distributed

[Enter a comment]

Copy

Map	Expense type	Description	Mileage	Rate	Amount	Receipt
	Airline Costs	3 test trip	0.0000	0.0000	10.00	<input type="checkbox"/>
	Books/Magazines/Periodicals	2 a pretty calendar for the office	0.0000	0.0000	10.00	<input checked="" type="checkbox"/>
	Stationery	3 a pen	0.0000	0.0000	50.00	<input checked="" type="checkbox"/>
					Σ	155.00

**Expense details**

Expense type: Airline Costs      Date: 07/11/2017      Description: 3 test trip

Amount: 10.00

Finance Codes: Cost: DS      Subproject: DS002-02      Tax system: PR

Approve    Reject    Park    Advanced mode    Log book    Export

Map	Action	Expense type	Description
<input checked="" type="checkbox"/>		All Public transport	receipt one, train travel
<input type="checkbox"/>		Conference Fees	receipt two, conference fees
Σ			

Approve    Reject    Park    Undo

**Expense details**

Expense type: All Public transport      Date: 19/09/2017      Description: receipt one, train travel

Amount: 162.40

Finance Codes: Cost: DS      Subproject: DS002-05      Tax system: PR

Finance: Finance System Test sub project      Partially R

Save

10

**The task is successfully processed.**  
Please wait while your next task is presented.

# 7 How to view expenditure you have authorised

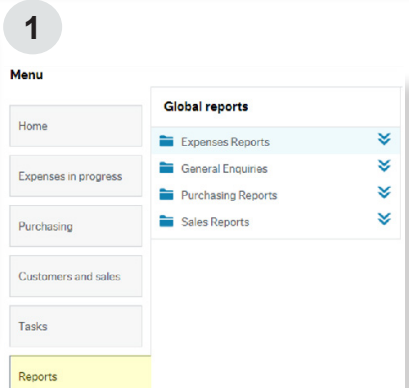


Within the Reports section there are three enquiries that list tasks you have authorised:

- Expenses Reports: **Expenses I have approved**
- Purchasing Reports: **Invoices I have approved** and **Requisitions I have approved**.

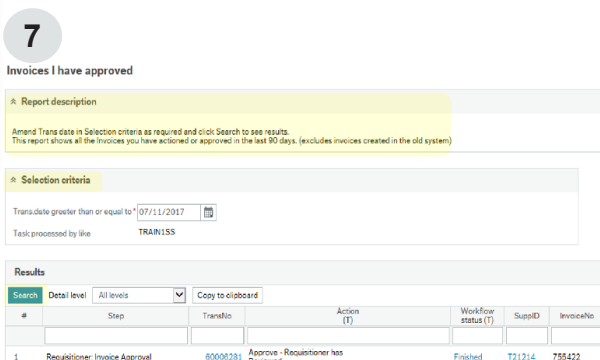
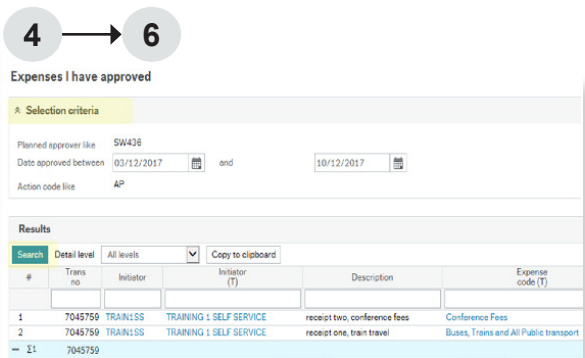
There are other reports that you may find useful available on the system. For example: **Head of School Expenses enquiries** which provides an overview of all expense claims less than £500 authorised by the budget holder and **Rejected claims by School** which displays all rejected out of pocket expenses claims and the reasons for the rejections.

1. To access these reports, click on Reports in the main menu.
2. Click on the Expense Reports drop-down arrow to access the Expenses I have approved report.
3. Click on the Purchasing Reports drop-down arrow to access the Invoices or Requisitions I have approved reports.



## Results:

4. Click on Search to see all results
5. The transaction date defaults to 90 days but you can click on the calendar to view a different date range.
6. You can filter the data by entering search criteria in the Results fields and pressing Search.
7. For Invoices I have approved/Requisitions I have approved, the Step field displays the step in the process which you authorised.

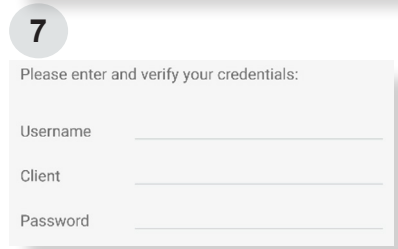
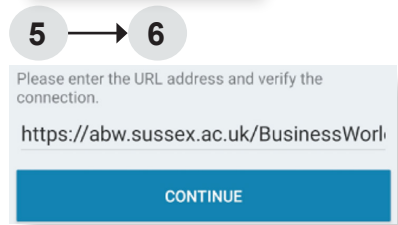
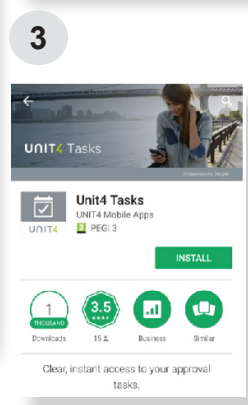
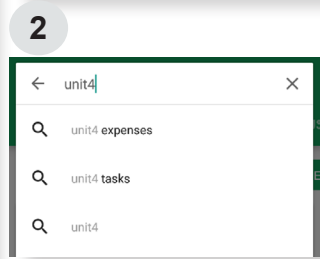
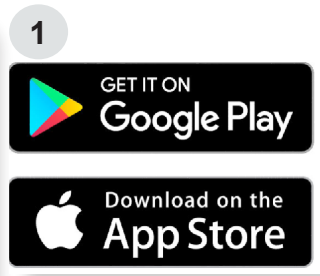


# 8 How to install the mobile app

**i** The Finance System has a mobile app which allows users to approve Expense and Requisition tasks. The app is available on Android and IOS devices version 9.0 or later, such as iPhones. The app is not supported on Windows devices.

*Note: Unless otherwise stated the screenshots in this guide are taken from an Android device.*

- Before you begin this process, please ensure you have an up to date log-in for the Finance System and a copy of the URL required to link to the Finance System on your device.**
1. **Download the app** via Play Store for an Android device or App store for an Apple device.
  2. **Type Unit4** into the search box. The app is called 'Unit4 Tasks'.
  3. **Click install.** Once installed you should have the icon for the app showing on your device.
  4. **Launch** the app.
  5. **Type** the following link in as your URL: <https://abw.sussex.ac.uk/BusinessWorld-webservices/Service.svc>
  6. **Tap** continue
  7. **Log in** using your Finance System username and password. Leave the Client field blank.



# 9 How to use the mobile app to authorise out of pocket expenses

**Note:** Unless otherwise stated the screenshots in this guide are taken from an Android device.

1. The home screen will display the tasks you have available to authorise. Tap on the drop-down arrow next to the number of tasks showing for Staff Expenses Claim and the individual tasks will be displayed in more detail.

2. Tap on the individual task you wish to action.

3. Scroll through to see the different pages associated with that claim.

**Note:** To see the full details of each line, click on Detail. To enlarge the receipt image, tap on the Picture.

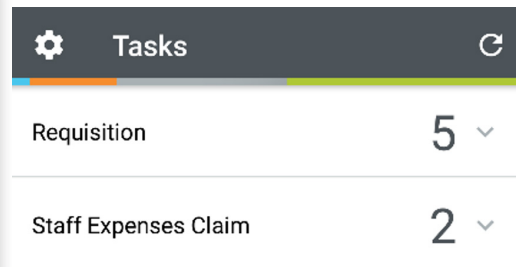
4. You will need to review the claim and consider these questions as detailed in Part One of this guide:

- Is the purchase necessary and is there sufficient budget?
- Does the purchase represent Value for Money and has the Purchasing Policy been followed?
- Has the correct process been followed to identify the best Value for Money Supplier?
- Has the preferred way to pay been selected?
- Is there sufficient supporting information?
- Is the purchase correctly recorded?

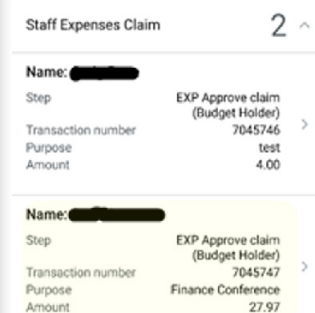
5. Once reviewed you can action the task in one of the following ways:

- Click **Approve** located at the bottom of the claim completing your authorisation of the claim
- Click on the three dots in the top right corner and select **Reject**, rejecting the whole claim back to the claimant. You will need to provide a reason for this.
- Click on the three dots in the top right corner and select **Park** to exit from the claim if you

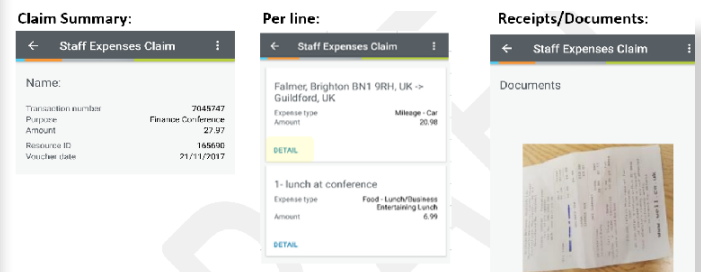
1



2

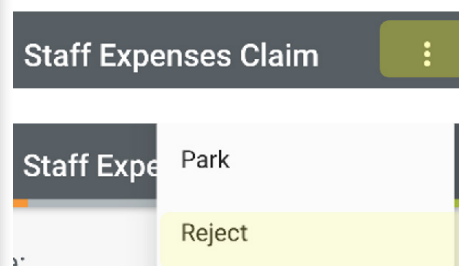


3



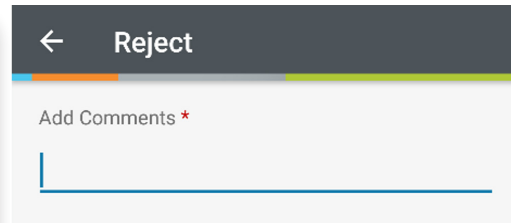
6

**APPROVE**



need further time to review. You will still need to authorise or reject the claim once your review is completed. You will need to enter a reason for why you have parked the claim.

**Note:** If you wish to action the claim on a line by line basis then you will need to use Advanced Mode in the Finance System as this option is not available via the mobile app. Please see section 6 of this chapter.



The screenshot shows a mobile application interface for rejecting a claim. At the top, there is a dark grey header bar with a white back arrow on the left and the word 'Reject' in white text on the right. Below the header, the background is light grey. The text 'Add Comments \*' is displayed in a dark grey font. Underneath this text is a white rectangular text input field with a thin blue border and a blue cursor line at the end.

# 10 How to use the mobile app to authorise requisitions

**Note:** Unless otherwise stated the screenshots in this guide are taken from an Android device.

1. **The home screen will display the tasks you have available to authorise.** Tap on the drop-down arrow next to the number of tasks showing for Requisition and the individual tasks will be displayed in more detail.

2. **Tap on** the individual task you wish to action.

3. **Scroll through** to see the different pages associated with that requisition, including any attached documents.

**Note:** To see the full details of each line, click on Detail.

4. **You will need to review the claim** and consider these questions as detailed in Part One of this guide:

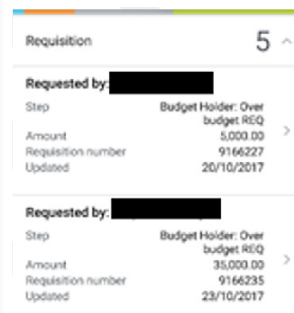
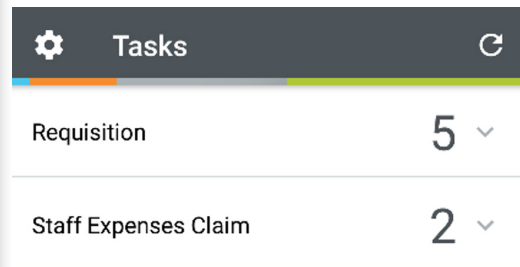
- Is the purchase necessary and is there sufficient budget?
- Does the purchase represent Value for Money and has the Purchasing Policy been followed?
- Has the correct process been followed to identify the best Value for Money Supplier?
- Has the preferred way to pay been selected?
- Is there sufficient supporting information?
- Is the purchase correctly recorded?

5. **To view the available funds** for the subproject/s used within the requisition you will need to log-in to Finance System and use the Funds Check function. See section 2 of this chapter for further guidance.

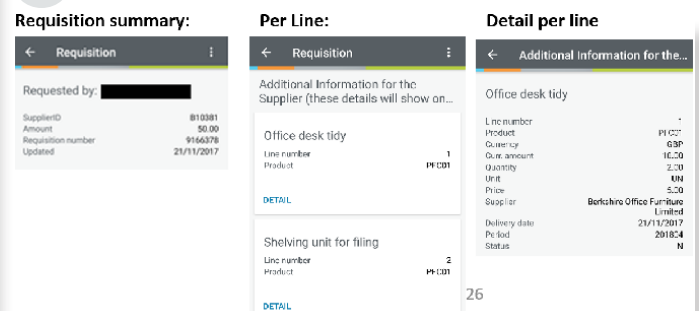
6. **Once reviewed** you can action the task in one of the following ways:

- **Click Approve** located at the bottom of the requisition, completing your authorisation of the whole requisition.

1



3

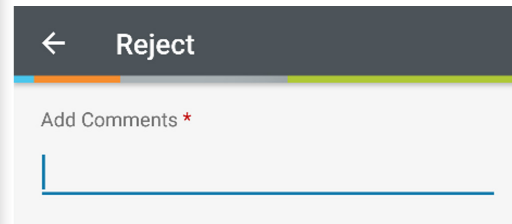
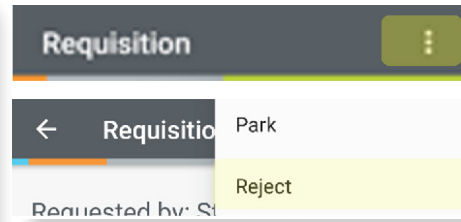


6

**APPROVE**

- **Click on the three dots in the top right corner and select Reject**, rejecting the whole requisition back to the requisitioner. You will need to provide a reason for this.
- **Click on the three dots in the top right corner and select Park** to exit from the requisition if you need further time to review. You will still need to authorise or reject the requisition once your review is completed. You will need to enter a reason for why you have parked the requisition.

**Note:** If you wish to action the requisition on a line by line basis then you will need to use Advanced Mode in the Finance System as this option is not available via the mobile app. Please see section 2 of this chapter.



## Policy and guidance - What items are not reimbursable?

The following list provides examples of items that are not an appropriate use of University funds:

### **Day to day and traffic fines**

(Living expenses e.g. toiletries, clothing, newspapers and snacks)

### **Usual travel**

(Travel between home and usual place of work)

### **Gratuities**

(Except where culturally paying a gratuity is seen as compulsory)

### **Formal attire**

(Dinner jacket or ball gown costs to attend formal functions)

### **Care costs**

(Childcare costs, kennel/cattery costs or vets fees and similar expenditure)

### **Alcohol**

(Except for conferences, business entertaining and all welcome/leaving events within set limits)

### **Personal gifts**

(Such as flowers and chocolates)



### Purchase values to determine the process you need to follow

The value of your purchase will determine what you need to do next. When making your decision you should consider the value inclusive of VAT, except for those cases such as medical supplies where VAT is recoverable so the value is exclusive of VAT. **Different requirements apply within different value thresholds. :**

**Purchases up to £5,000:** You should use a nominated or e-marketplace supplier in the first instance. For some nominated suppliers if business need cannot be met, or in the case of the managed travel provider a better Value for Money solution can be found, the budget holder may judge it appropriate to consider an alternative supply.

If neither are available a framework supplier should be considered next. However, if the budget holder makes the judgement that the process involved in selecting a framework supplier is onerous and outweighs the achievable Value for Money, a University approved supplier should be used or included in the process of seeking quotes. If there is no approved supplier able to meet business need, or insufficient supplier to allow more than one quote to be obtained, it would then be appropriate to approach a new supplier.

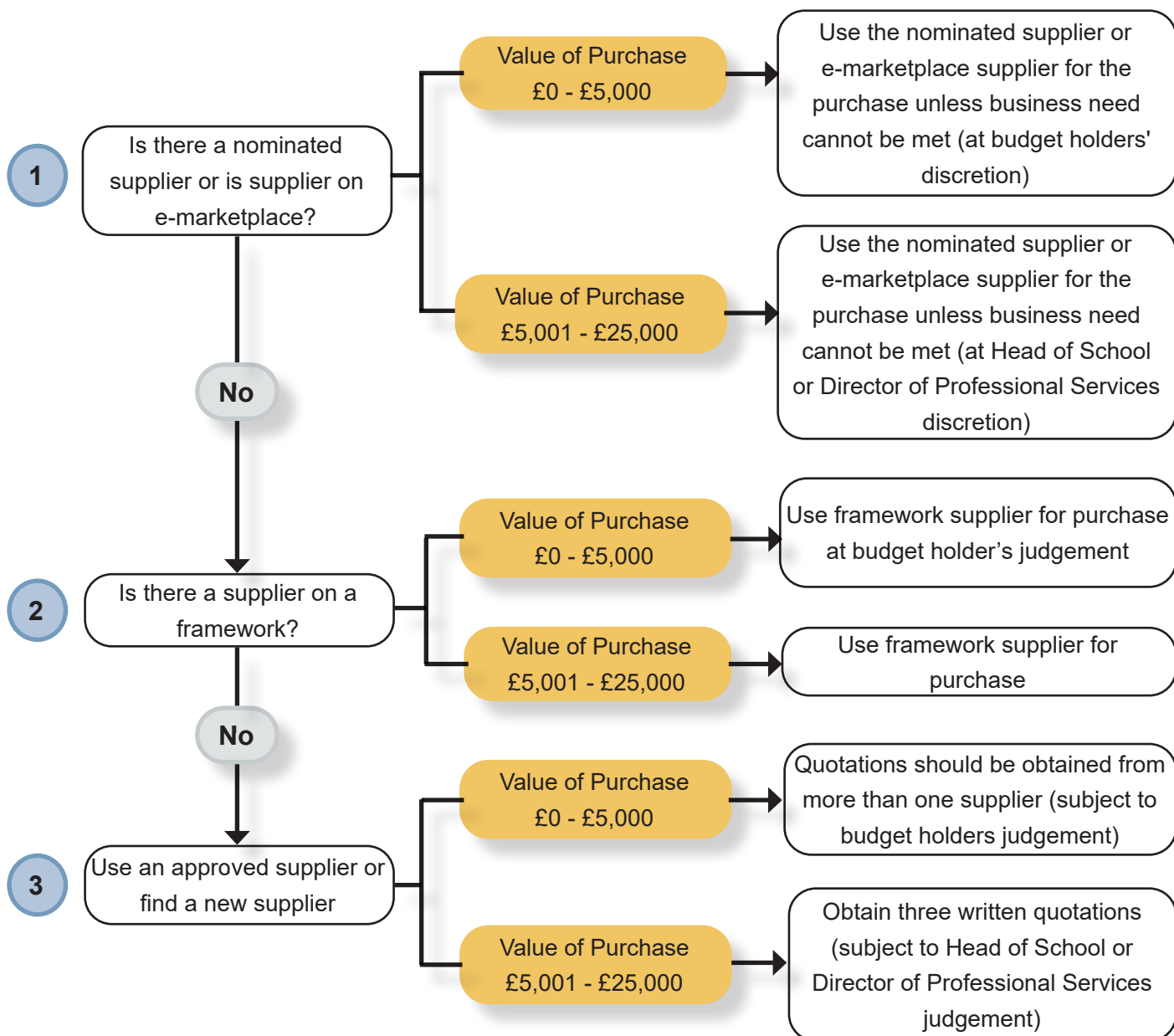
It is recommended that quotes are obtained from more than one supplier but the budget holder can exercise judgement and may conclude that seeking a single quote will produce the best result for the University, taking into account efficiency of process balanced with achievable Value for Money.

You do not have to accept the lowest quotation. However, your rationale for accepting any quotation should clearly evidence that the quotation representing best overall Value for Money has been selected.

**Purchases between £5,001 and £25,000:** You should use a nominated or e-marketplace supplier in the first instance. For some nominated suppliers if business need cannot be met, or in the case of the managed travel provider a better Value for Money solution can be found, the Head of School or Director of Professional Service may judge it appropriate to consider an alternative supply. In this case you should use a framework agreement and, if this cannot meet business need, seek three written quotes from different suppliers including existing approved suppliers. The Head of School or Director of Professional Service has authority to judge whether obtaining a quote from fewer than three suppliers will maximise Value for Money and meet the University's business needs.

You do not have to accept the lowest quotation. However, your rationale for accepting any quotation should clearly evidence that the quotation representing best overall Value for Money has been selected.

**The diagram on the next page summarises the steps to follow to identify an appropriate supplier for purchases under £25,000:**



**Purchases above £25,000:** If you are ordering goods or placing a contract for a value in excess of £25,000 (total spend over the duration of the requirement) you must engage with Procurement and Commercial Services to formally agree a purchasing approach before you begin to make contact with suppliers.

This could range from a simple process that can be completed in a couple of weeks to a complex tender procedure that may take months to complete. It is therefore important to engage with Procurement and Commercial Services as soon as you become aware of your requirement.

To do this you should complete a Request for Procurement Support, which can be found on the Finance website, and submit it to the Finance Service Desk. Your requirement will then be assessed to ensure appropriate support is given.

## How do I find the right supplier?

The route to the best Value for Money supplier will depend on the nature of the purchase and the expected cost to the University. You will need to follow the questions in the order below to select the right supplier for your purchase. You should always check the Finance website [www.sussex.ac.uk/finance/](http://www.sussex.ac.uk/finance/) for details of nominated, framework and approved suppliers.

### STEP 1

#### Is there a nominated supplier or e-marketplace supplier available?

There are nominated supplier agreements in place for goods and services required routinely by staff. Some of these suppliers must be used for all purchases, irrespective of their value, due to exclusivity contractual obligations and there is no discretion to use another supplier. For other nominated suppliers you may seek your own supplier if the nominated supplier does not meet business need.

#### The most frequently purchased goods and services from nominated suppliers are:

- IT related equipment and software, estates and facilities management (SEF), print and reprographics (SEF), and travel insurance. For these items the nominated supplier should be used for all purchases.
- Catering (SussexFood), managed travel and stationery. For these items the nominated supplier should be used unless business need cannot be met.

The e-marketplace is an efficient mechanism for accessing some suppliers (i.e. Office Depot for stationery), via the University's Finance System. Access is gained to multiple suppliers' catalogues, in some cases at the same time, to select goods and create a purchase order.

### STEP 2

#### Is there a framework agreement available?

Framework agreements are arrangements between the University and certain suppliers who have been pre-selected by a tender process.

The rules of each framework may differ and you may be required to seek competitive quotes and tender for goods and services from the suppliers named in the framework agreement.

However, there is some judgement required around whether you need to use frameworks for purchases up to £5,000. A budget holder may judge that the process involved in selecting a supplier through a framework is onerous and outweighs the achievable Value for Money. In this case Step 3 should be used.

Continued on next page

**STEP  
3**

### Is there an approved supplier available?

An approved supplier has supplied goods and services to the University before, following a University procurement process which established appropriate terms and conditions of business. University approved suppliers are subject to quality and performance review. If an approved supplier cannot be identified or does not meet business need, then a supplier that has not yet been approved for use may be used as outlined in Step 4.

**STEP  
4**

### What if I still can't find my supplier?

In some cases where you have not identified a supplier through the first three steps, you should source a new supplier. However, you should be aware that this can be time consuming and also carried a risk that the supplier may not be acceptable to the University for ethical and financial considerations. For example, the University will not purchase from a sanctioned person, organisation or those residing in a sanctioned country without written permission from the Director of Finance.

Full details of how to undertake a supplier evaluation and submit a new supplier request can be found on the Finance website [www.sussex.ac.uk/finance/](http://www.sussex.ac.uk/finance/).

## What are the preferred ways to purchase?

The preferred ways to purchase goods and services are shown below in the order that they should be considered.

### 1 University purchase orders

Purchase orders raised using the Finance System are **the principle mechanism** for the purchase of goods and services in the University.

**In order to support budgetary control and the delivery of value for money the University's Financial Regulations require all purchasing to be carried out using a purchase order.** The only exceptions to this are defined by the Director of Finance in order to meet business need and/or to support the achievement of value for money and are outlined in the next section of this guide.

Unless purchasing through an approved alternative route any verbal or written request for the supply of goods and services, may constitute a contract with the supplier and must be supported by a University purchase order.

### 2 University purchase cards

Purchasing cards should be used in preference to out of pocket expenditure where access to both alternatives exists.

Whilst they are intended to provide quick and easy access to purchasing it is important that wherever possible staff and budget holders take a planned approach to purchasing and do not use purchasing cards as a routine 'emergency' alternative to purchase ordering.

Heads of School and Directors of Professional Services are responsible for the purchasing arrangements in their School or Division and the appropriate distribution and use of purchasing cards.

### 3 Out of pocket expenditure

Out of pocket expenditure, which is where the individual uses his or her own funds for purchases and then seeks reimbursement, should only be carried out where the individual:

- When the University's Finance System cannot be accessed to generate a purchase order, i.e. when travelling on University business
- When a purchasing card transaction cannot be performed, because the buyer does not have a card and is unable to find another card-holder to buy the item
- When expenditure must be paid in cash, i.e. payments to research volunteers
- The claim is for an allowance such as mileage.

## 4 Advances

University funds may be advanced to staff, students and visiting researchers who do not have access to the Finance System or a purchasing card and are unable to make purchases or cash withdrawals using a personal credit card without incurring any additional personal costs.

In any situation an advance will be always limited to the anticipated expenditure and should not be regarded as a cash 'float'. Further details can be found on the Finance website.

## 5 None of these?

If it appears that none of the methods above can be used for your requirement, please contact the Finance Service Desk.

### For purchases in relation to travel and away from base, hospitality and out of pocket expenses

The diagram below summarises the preferred way to pay for travel and away from base, hospitality and out of pocket expenses.

