Policy and Compliance Review (PCR) – How-To Submit

POLICY EXPECTATIONS

What is it a Policy and Compliance Review (PCR)?
Any time a transaction occurs, or is requested, that contradicts or conflicts with a printed university policy a *Policy and Compliance Review* (PCR) is required.

For policies 'owned' by the Comptroller's Office (CMP), including travel policy, the Compliance and Controls team reviews and makes policy determinations. For purchasing and PCard policies, non-travel related, the Director of Purchasing reviews and makes policy determinations on behalf of Contracts, Purchasing, and Risk Management (CPRM).

DOCUMENTATION REQUIREMENTS & RESOURCES

Who submits the PRC?
The purchaser or reimbursee requesting the exception to policy is responsible for submitting the PCR. Alternatively, the PCR may be submitted by a delegate from the purchaser/reimbursee's authorizing department.

What is required when submitting a PCR?
Be ready to provide an adequate business need, speedchart of the authorizing department, and support documentation - including but not limited to:

- **Quote(s),** *if purchase has not yet been made*
- **Itemized Receipt(s)**, *if purchase has been made*
- **Cost Comparisons**, *ref.* NAU Travel: Cost Comparisons – How To Run *for a general how-to resource*
- **Cost Calculations** for standard business need v. alternate plans, ***show don't tell****!*

SUBMISSION, ROUTING, and REVIEW TIMELINE

See page 2+ for step-by-step instructions and screenshot for how-to submit the PCR case.

When should a PCR be submitted?
A PCR should be submitted ***prior to the purchase being made***, whether to be paid on a NAU PCard or with personal funds, *or* **prior to reimbursement if the purchase has already occurred**.

- A Policy **exception** is requested *and* approved **before** the transaction occurs.
- A Policy **violation** is issued **after** a transaction takes place and may result in corrective actions/or limits to the amount of allowable reimbursement.

Who Reviews and Approves/Denies the PCR?
Once a PCR has been submitted, the request routes as follows:

1st – Authorizing Department's LFO, *this is ESC designated routing based on speedchart provided*
NOTE: Principal Investigator (PI), *will only receive a request to review if the speedchart provided is a grant*
2nd – Comptroller's Office Compliance and Controls Team, *for Comptroller (CMP) and Travel (TRV) policy*
OR
2nd – Contracts, Purchasing, and Risk Management's Director of Purchasing (CPRM), *for Purchasing (PUR) policy*

What is the approval routing and timeframe for policy owners (CMP or CPRM) Review and Approval/Denial?

- Once to CMP or PUR, 1-2 business days.
- After 3-business days (the 4th day) from department level approval received, escalate to CMP or CPRM for review escalation.

CONTACTS & RESOURCES

For additional assistance please contact your department's local fiscal oversight designee (LFO), or one of the below Compliance Offices.

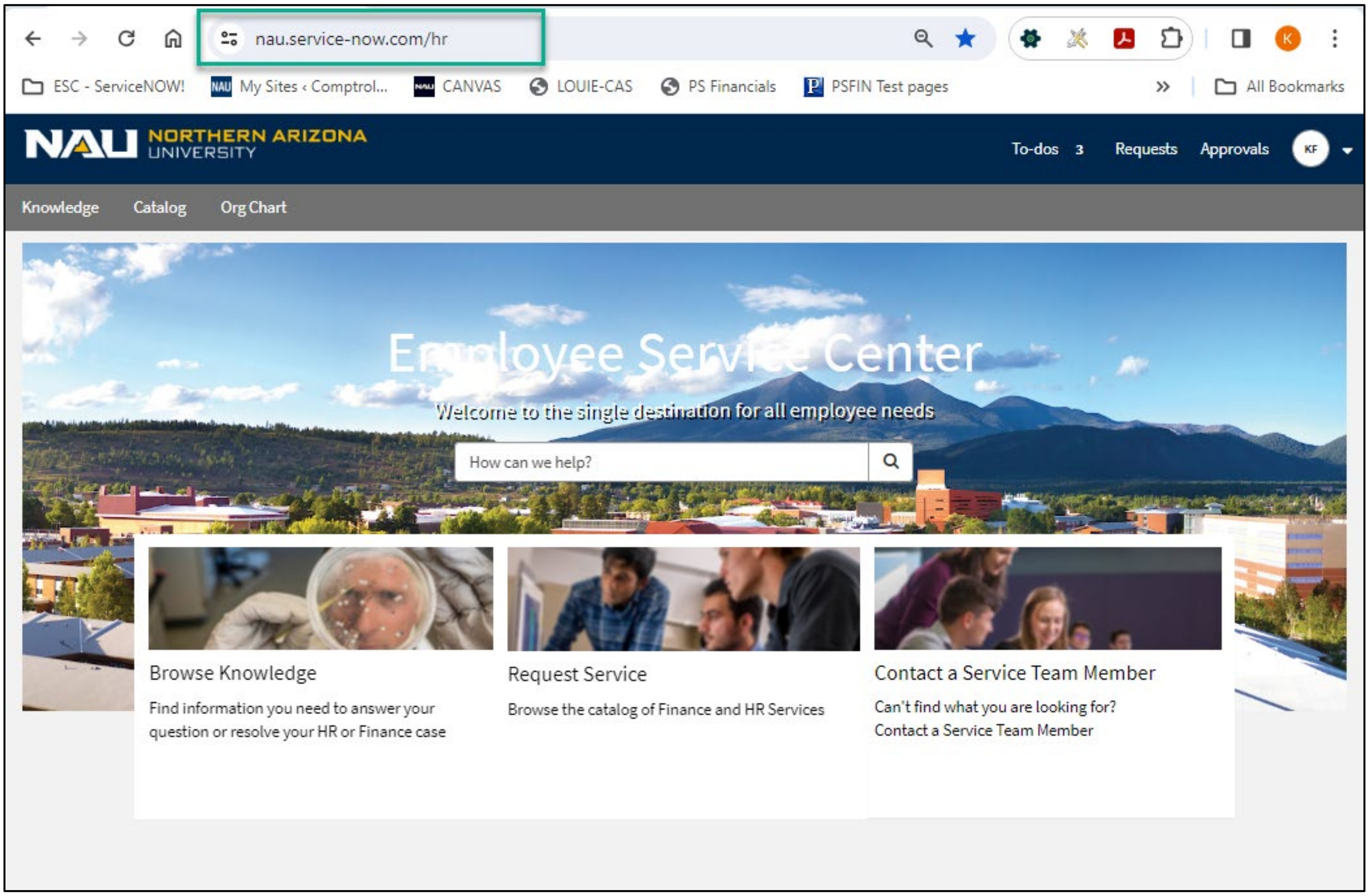
Comptroller's Office Compliance Team (CMP & TRV Policy): Singne.Slayton@nau.edu, 928-523-5384
Contracts, Purchasing, and Risk Management (PUR Policy): Debra.Cisneros@nau.edu, 928-523-5285

EMPLOYEE SERVICE CENTER (ESC) – https://nau.service-now.com/hr

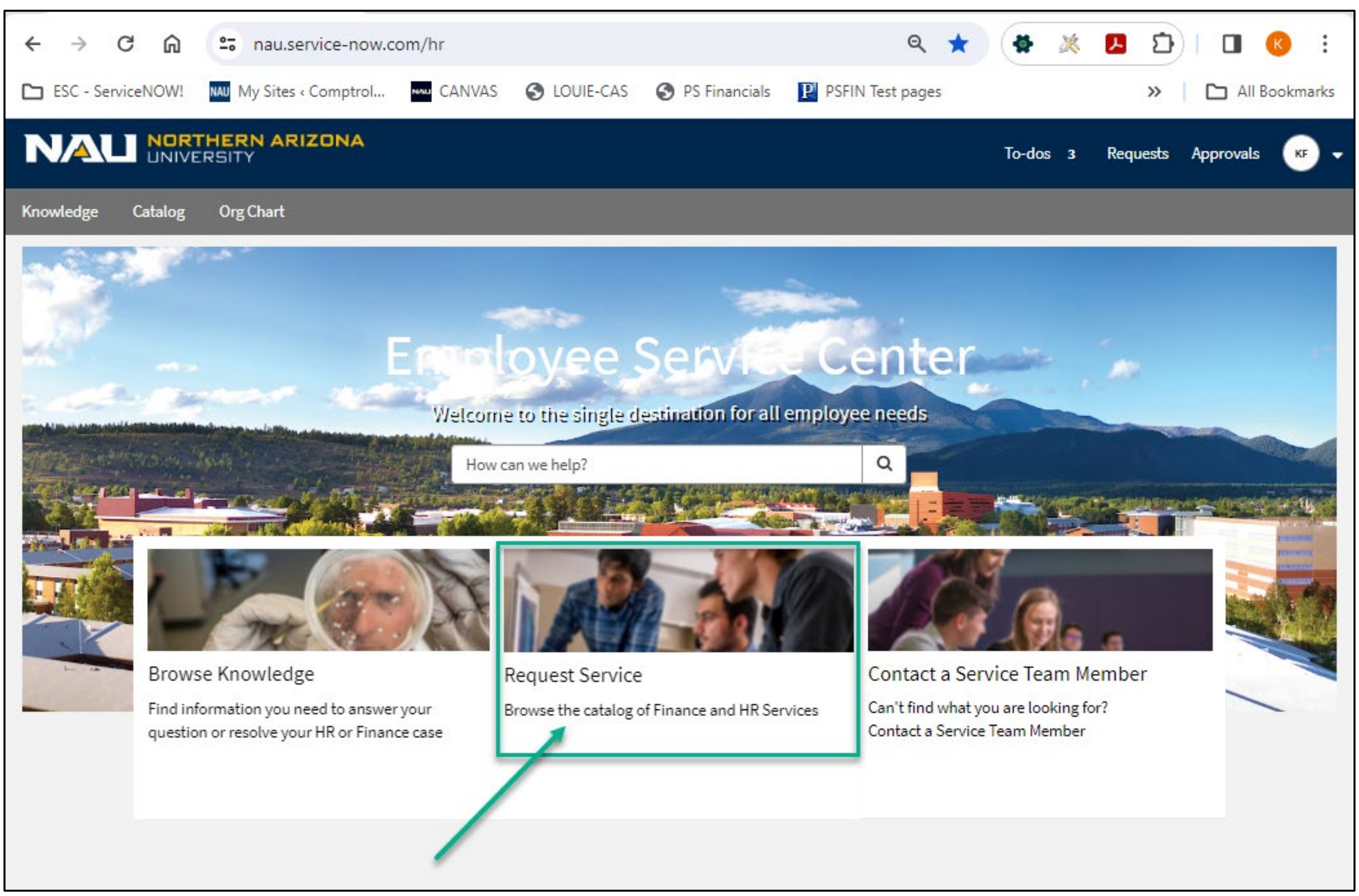
Ref. following pages for step-by-step screenshots.

1. Log into the ***Employee Service Center (ESC)*** - https://nau.service-now.com/hr.
2. Click on ***Request Service*** navigation tile
3. From Categories list, left side of screen, click ***Compliance and Controls***
4. Click ***Policy and Compliance Review***, under listed *Item*.
5. Complete the form: *all fields with a (*) are required!*
    a. ***Requestor Name**: *This field defaults to the individual logged into the ESC, change as appropriate, but can only be an NAU employee or student. For a community member, use your name and note theirs in the* Business circumstance *field below.*
    b. ***Departmental Responsible Party**: *Enter the name of the individual, in the authorizing department, who will make/made the purchase OR who has approved this purchase if being made by a community member - examples: supervisor, chair, director, etc. If the requestor and the responsible party are the same, check the box –* **Departmental Responsible Party same as Requestor.**
    c. ***Request Type**: *Select one option from the drop-down, additional fields will appear depending on the selection made*.
        i. **Blanket**: *For multiple purchases of the same type/purpose for the full fiscal year.*
            1. ***Effective Date**: *Click the calendar function on the right end of the field to enter the effective or start date.*
            2. ***End Date**: *Click the calendar function on the right end of the field to enter the end date – note: date should not exceed the last day of the current fiscal year, June 30th.*
            3. ***Is this a renewal?**:
                a. **No**
                b. **Yes**
                    i. **Previous Justification for Exception to Policy Number:** *Enter the PCR# this request is replacing*.
        ii. **One-Time:** *For a 1x purchase or exception.*
            1. ***Has this expense already occurred?:** *Select one option from the drop-down, additional fields will appear depending on the selection made.*
                a. **Yes**
                    i. ***Date the expense occurred.:** *Click the calendar function at the right end of the field to enter the date of purchase.*
                b. No
    d. ***Policy Ownership**: *Select one option from the drop-down.*
        i. **Comptroller (including travel):** *Select if the policy is a Comptroller policy or related to travel. The policy prefix will start with* CMP *or* TRV.
        ii. **Purchasing:** *Select if the policy is for a non-travel related purchase or related to NAU PCard use. The policy prefix will start with* PUR.
    e. ***Related policy**: *Select one option from the drop-down. The selection made under* ***Policy Ownership*** *will determine available options*.
    f. ***Business circumstances necessitating transaction review**: *Be as descriptive as possible! This is your* Why *statement – i.e. Why is this purchase necessary?*
    g. ***Additional procedures such as prior approvals, review, etc….**: *Be as descriptive as possible!*
    h. **Associated Employee Service Center Case HRC#**: *Enter the HRC# if PCR is related to a current case*.
    i. ***How is this being funded?**: *Select one option from the drop-down, additional fields will appear depending on the selection made.*
        i. **NAU Funds (State and Local)**: *If funding is split between state/local and grant funds, select* **NAU Managed Grant Funds** *and note split in* **Business circumstances** *field*.
        ii. **NAU Managed Grant Funds**
    j. ***Funding Speedcharts**: *Click* **Add** *to enter the funding speedchart. If split funding, click* **Add** *again for each additional speedchart to be added.*
    k. ***Add Attachments:** *See* Documentation Requirement *section on page 1 for options.*
    l. Click **SUBMIT** button.

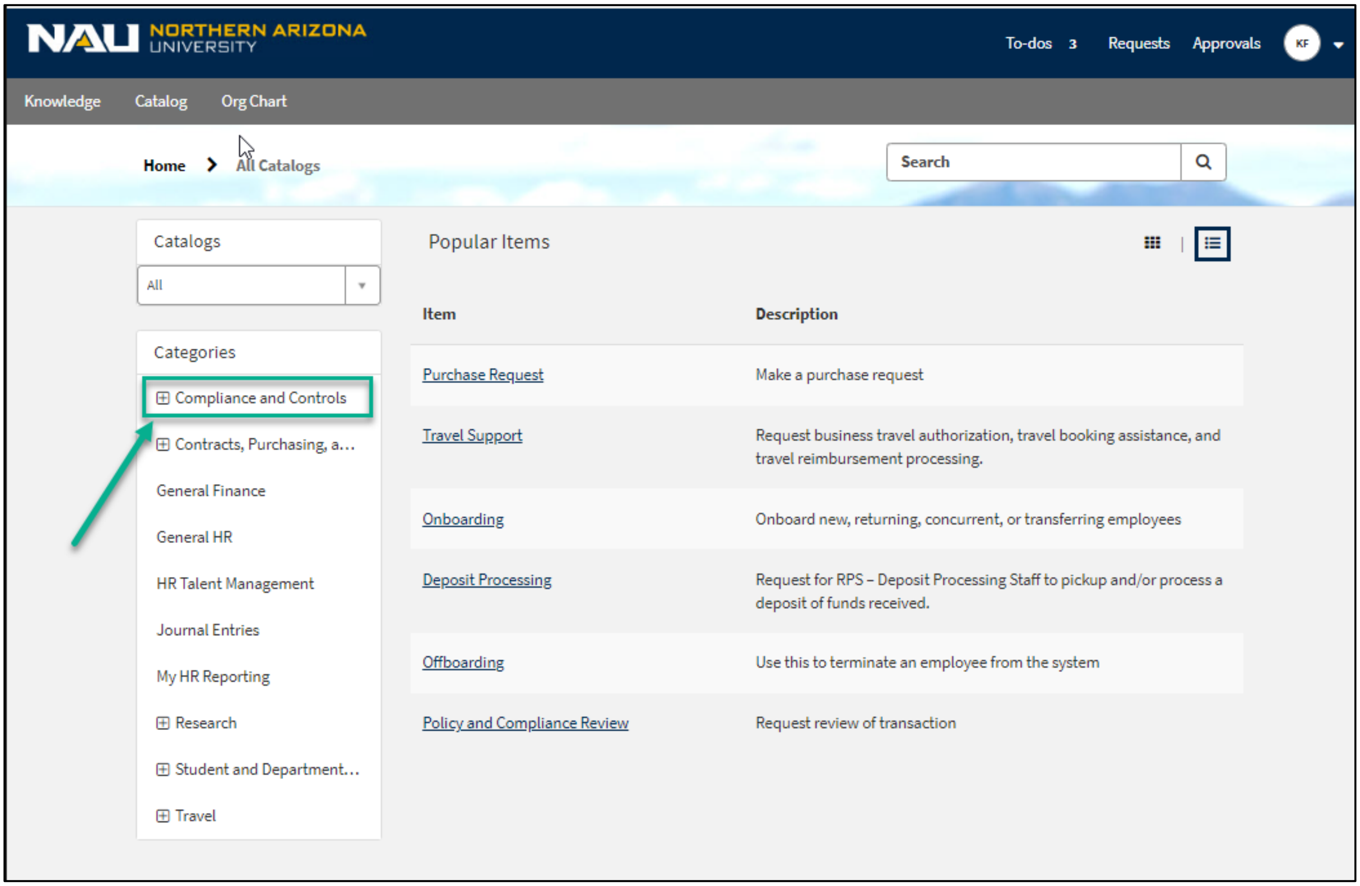
① Log into the ***Employee Service Center (ESC)*** - https://nau.service-now.com/hr.



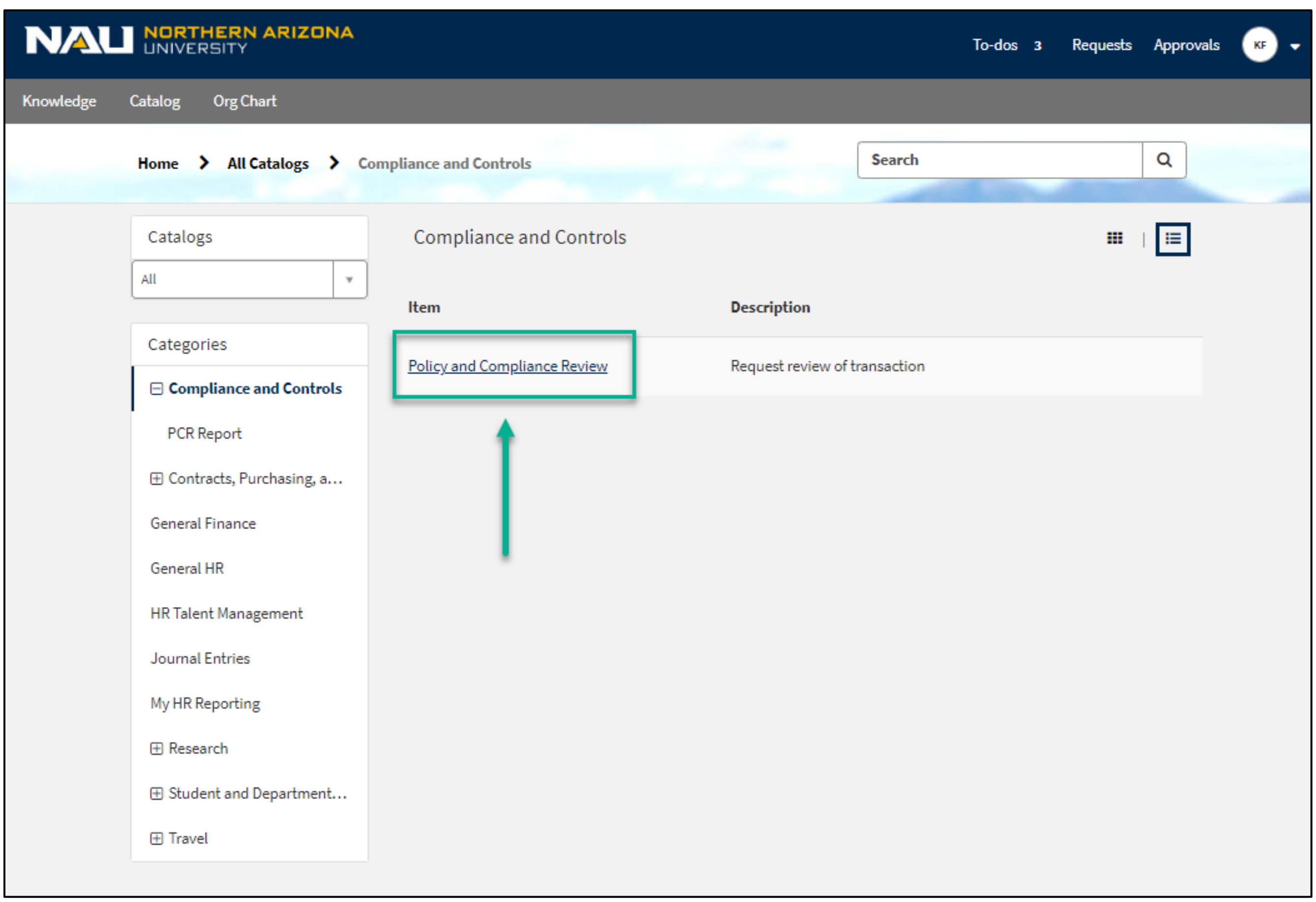
② Click on ***Request Service*** navigation tile.



③ From **Categories** list, left side of screen, click ***Compliance and Controls***.



④ Click ***Policy and Compliance Review***, under listed **Item**.



⑤ Complete the form, *reference page 2 for instructions on completing each field* - ***all fields with a (*) are required!***

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To-dos 3 Requests Approvals KF

Knowledge Catalog Org Chart

Home > All Catalogs > Finance Service Catalog > Compliance and Controls > Policy and Compliance Review

Search

Policy and Compliance Review

Request review of transaction

Review of a financial transaction for policy and compliance by the Comptroller's Office and/or Contracts, Purchasing, and Risk Management.

* Indicates required

Requestor Name

YOUR Name will appear here!

☐ Departmental Responsible Party same as Requestor

* Departmental Responsible Party

* Request Type

-- None --

* Policy Ownership

-- None --

* Related Policy

-- None --

You can view policies at the Policy Library. Segmented links: Comptroller Policy Travel Policy Purchasing Policy

* Business circumstances necessitating transaction review

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

Associated Employee Service Center Case HRC#

If this exception is supporting a previous Purchase, Non-Travel Reimbursement, or Travel transaction case, please enter case number (e.g. HRCXXXXXXX)

* How is this being funded?

Attach ALL related communication that support that this issue is being mediated. If the purchase has already been made, receipt is required.

Submit

* Add attachments