VOUCHER APPROVALS COURSE

Transcript of the Online Course

This is a transcript of an online course developed by Leadership and Talent Development. To access the online course, you must be enrolled in the course (go to ULearn ulearn.umn.edu and use the search window on the top right-hand side of the page to find the desired course, then register). You can then access the course via your transcript in ULearn.

This transcript is intended as a resource for persons who have completed the online course. In order to receive credit on your training record for completing the course, you must enroll in the course via ULearn and you must go through the entire course online. Downloading and reading through this transcript only does not constitute completion of the course.

This transcript is current as of 5-5-15. Any updates made to the online course after 5-5-15 are not reflected in this transcript.

Leadership and Talent Development
orgeff@umn.edu
www.umn.edu/ohr/training
Voucher Approvals
Welcome to Voucher Approvals. In this course you will learn to evaluate a transaction and “approve” or “send back” a non purchase order (PO) payment voucher in EFS.

After viewing this course, you will:

- Appreciate the importance of approvals at the University.
- Understand the types of approvers and routing for approvals.
- Review approval requirements for non PO vouchers.
- Decide to Approve or Send Back vouchers.

Click the back and next arrow buttons below to move through the course.

Use the <MENU ON/OFF> button to display a navigation panel for the course.
NEED FOR APPROVALS

All University personnel are responsible for ensuring that fiscal controls exist and are used to prevent abuse or misuse of University funds and other resources.

By requiring the review and approval of one or more individuals for all significant financial transactions in the financial system, the University can ensure policy is being followed and enforced.

Click on the link to access the policy.

Approvals and Routing Policy
PRIMARY AND ALTERNATE APPROVALS (POOLED APPROVALS)

Per department and transaction type, multiple people will have immediate access to review and take action on the pending transaction at the same time. While it is an expectation that the primary approver will be responsible for taking action on their transactions, one of the benefits of the pooled process is that any alternate approver may take action at any time if the primary approver is unavailable.

Click on each icon to learn more.

Preparer
A preparer is expected to follow-up with the approvers to resolve any issues. If a transaction is not processed in 5 days, EFS will notify the preparer via email.

Primary Approver
A primary approver is the expected approver of a transaction.

Alternate Approver
An alternate is expected to work with the primary approver and any alternate approvers when needed to determine who should take action on the transaction.

Did you know? The Current DeptID Approvers report may be run via the Reporting Center and in the WorkCenter to learn who the primary and alternate approvers are for each DeptID.
APPROVAL MATRIX

This chart shows how vouchers are routed to the different approvers based on the dollar value, category, and ChartField string. Non PO vouchers and single payment vouchers must be approved because there was no previous opportunity, via the procurement process, to review and approve these expenditures.

Non PO Vouchers Approval Matrix

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Approvals</th>
</tr>
</thead>
<tbody>
<tr>
<td>&lt; $100 (Transaction Header)</td>
<td>Auto-approve</td>
</tr>
<tr>
<td>$100+</td>
<td>DeptID Approver 1</td>
</tr>
<tr>
<td>$100+ and have a restricted chemical category = DEHS</td>
<td>DEHS</td>
</tr>
<tr>
<td>Sponsored Activity - $1000 and over OR any dollar amount for travel-related expenses (7206XX)</td>
<td>DeptID Certified Approver</td>
</tr>
<tr>
<td>$10,000+</td>
<td>DeptID Approver 2</td>
</tr>
<tr>
<td>$25,000+ and paid by a federally sponsored contract</td>
<td>Purchasing Services</td>
</tr>
<tr>
<td>$50,000+</td>
<td>Purchasing Services</td>
</tr>
</tbody>
</table>
NON PO RELATED PAYMENTS LIST

Non PO vouchers do require approval.

- This includes items purchased from an external supplier without using the standard requisition/purchase order process.
- Always refer to the Non Purchase Order Related Payments list before creating a non PO voucher for payment.
- There must be an associated invoice, check request form, or other documentation for a voucher to be created.
NON PO APPROVAL PROCESS OVERVIEW

EFS will do budget checking after the non PO voucher is approved and before payment is posted.

Non PO vouchers that are sent back or put on hold are stopped from further processing until the voucher preparer addresses the issues documented by the approver.

Based on the review, the approver clicks Approve, Send Back, or Hold for the distribution line for which they are responsible. All distribution lines must be approved for the voucher to be paid.

Approver(s) review the distribution lines on the non PO voucher for which they are responsible, looking for overall accuracy, accurate ChartField information, requester information, and adherence to University and/or sponsor policies.

An invoice or check request form is scanned into ImageNow for items that were purchased without a purchase order.

The cluster voucher preparer verifies that the item purchased is on the approved Non PO Related Payment list on the University policy website.

The cluster voucher preparer manually enters the non PO voucher in the financial system based on the invoice or check request form image and saves it.

The system routes the non PO voucher to the appropriate approvers based on the ChartField strings, voucher dollar value, and whether or not sponsored funds are used.
ACCESSING TRANSACTIONS

Where you may access the transaction will vary depending on whether you are the primary or alternate approver for the transaction.

- **Module Approval Page** [click to view]
  For example: Accounts Payable > Vouchers > Approve > Voucher Approvals.

- **Worklist** [click to view]
  Only the primary approver may access a transaction awaiting approval via their Worklist. Primary approvers will receive an email notification when each new item appears on their Worklist if they haven’t turned off email notification in their user settings.

- **Approval WorkCenter** [click to view]
  Lists all transactions associated to you, sorted by type and whether you are the primary or alternate approver.
Primary and alternate approvers may access the transaction from the module’s approval page. In this example, both the primary and alternate approvers may review and take action upon a requisition by navigating to the Voucher Approvals page at: Accounts Payable > Vouchers > Approve > Voucher Approvals.
**WORKLIST**

Worklist displays all of the transactions for which you are the primary approver.
Approval WorkCenter is designed to put all of the tools needed to review and approve transactions in one place, including links to WebNow and the University Policy Library. Using the Approval WorkCenter will especially benefit you if you are an approver of multiple EFS modules or are an alternate approver, because you will be able to see all of those transactions on the click of a link.
RESPONSIBILITIES OF AN APPROVER

There are some common responsibilities for approvers of all types of transactions. It is expected that approvers will perform each task for each transaction they review.

- Check to make sure that the transaction is allowable per policy.
- Verify that all required documentation and forms are included with the transaction.
- Confirm that the ChartField string is appropriate for the transaction.
- Review the justification to make sure that it is sufficient per policy. See the Justification Standards Job Aid.

The following slides provide an opportunity to see how an approver should review a non PO voucher, starting in the Approval WorkCenter.
REVIEW A NON PO VOUCHER

This is a demonstration of the steps to approve a non PO voucher.

For this example, we will access the non PO voucher transaction from the Approval WorkCenter located at the bottom of the Main Menu.

Click NEXT to advance through each step of the demo.
The first time you visit the Approval WorkCenter, you need to Edit Filters in order to populate your WorkCenter with transactions. Refer to the WorkCenter online course for directions to set up and personalize your WorkCenter.
Click <Vouchers> to see all of the transactions that you need to review.
Select the voucher to review.
1. View the Voucher Line Details.
2. Compare the invoice image and the voucher for accuracy. Answer the questions:
   - Is it an allowable expense per policy?
   - Is it a reasonable and prudent use of University funds?
   - Was it purchased in the correct manner according to the list of Allowable Non PO Purchases from the Policy Library?
   - Is the amount of the purchase expected and reasonable?
View the Comments.
Verify that the Justification meets the policy expectations for the 5Ws (Who, What, Where, When, Why).
Refer to the Justification Job Aid found in the Policy Library.
Review the ChartField information.

Answer the questions:

• Are all required ChartFields populated?
• If sponsored funds are involved, have all of the sponsor’s requirements been met?
TAKING ACTION

After you have located a transaction and reviewed it, you are ready to take action. There are four buttons that approvers may choose. When choosing, keep in mind:

- If a single transaction line contains multiple DeptIDs, the pooled approvals workflow rules will no longer apply.
  - Only the primary approvers for each DeptID may take action on the transaction.
  - Alternate approvers will NOT be able to take action on these pending transactions.

Click on each button to learn how it may be used.
INTERNAL SERVICE ORGANIZATION (ISO)

When invoices are generated by the ISO, one of the following happens, depending on what the department is authorized to do:

- Invoice is submitted for manual entry into EFS. Approval required.
- Invoice is either manually or automatically entered into a spreadsheet, which is then uploaded to the financial system. Approval required.
- An XML interface automatically creates the voucher in EFS. No approval required.
Slide 23 - Emergency Alternate Approvers

**EMERGENCY ALTERNATE APPROVERS**

- There is a University-wide pool of emergency alternate approvers who can approve non PO vouchers across all DeptIDs and dollar values.
- These approvers should be used rarely and cannot be the same person as the DeptID approver (level 1 or level 2) for the non PO voucher.
- In the event that an emergency approval is required, it is the responsibility of the department (not the cluster voucher preparer) to contact Financial Systems Support (the Financial Helpline) and request an emergency approval.
- Emergency alternate approvers should be used in emergency situations where the primary and alternate approvers are unavailable and lack of approval would result in a financial loss for the University.
SUMMARY

In this course, we have reviewed:

- The types of approvers and how transactions are routed for approval.
- The criteria for reviewing a non PO voucher transaction.
- The process for taking action to approve, send back, or hold a voucher.