

UCDAVIS

Supply Chain Management

Purchasing Approvers Forum

UC Davis
Winter 2019



Who's Presenting Today?

- **Jim Hewlett**, Supply Chain Management, Communications and Training Specialist
- Over 20 years with the university, previously in Accounting & Financial Services and now in Supply Chain Management
- Looking forward to empowering you with information and resources today!



Today's Agenda

- ✓ Separation of Duties
- ✓ Purchasing Transactions: Importance of Review and What to Review BEFORE Approving
- ✓ Account Delegates: Why They are Critical!
- ✓ Communicating Approval Requirements to your Document Initiators
- ✓ Review of Approval Processes in AggieBuy and Quali Financial System (KFS)



Notes on Today's Agenda

- Today's forum is focused on **approval requirements for purchasing transactions**, but much of the information is applicable to ALL approval types



Notes on Today's Agenda

- **Procurement Card (P-Card)** transactions will not be specifically addressed in today's forum, as P-Card transactions are documented post-transaction in the Kuali Financial System (KFS) on the **Procurement Card document (PCDO)**.
 - Departments are to establish an appropriate pre-approval process for their P-Cardholders desiring to make a purchase with their card
 - Refer to [PPM 350-22](#) for more information.

Audience Participation! Fun Question!

- Name something fun you hope to do this weekend!



AggieBuy and Kuali Financial System (KFS) Enforce Separation of Duties

- Individual who initiates a transaction is **never** able to **approve** their own transaction
- Transaction routes to and requires approval of fiscal officer or account delegate assigned to the account(s) cited on the transaction
- Best practice is for someone OTHER than a fiscal officer or account delegate to initiate a purchasing transaction in AggieBuy or in KFS, but, if a fiscal officer initiates a transaction, AggieBuy and KFS **automatically** require a *different account delegate* to approve the transaction

Importance of Separation of Duties

- Ensure Compliance with UC Davis **Separation of Duties Policy** ([PPM 330-11](#))

Always 2 persons involved in each financial transaction:
initiator and **approver**

The review and approval should always **add value** to the transaction

The initiated transaction is reviewed by an approver for **accuracy, compliance, and completeness**

If a “questionable” transaction is approved, future investigations may involve inquiries with **both** the initiator **and** the approver

Audience Participation! Question 1

- What is a reason why you would disapprove a purchasing transaction?



Importance of Separation of Duties

An approval should never be “rubber stamped”

- Just because you previously approved a “similar transaction” previously does not necessarily mean that the current transaction should be approved

If you are unsure as to “why” you are being asked to review and approve a transaction, communicate with your supervisor or fiscal officer

- Perhaps someone else is more appropriate for approving the transactions?

Audience Participation! Question 2

- Name something you should confirm **PRIOR** to approving a purchasing document.



9 Questions to Ask Before Approving

Is Purchase Appropriate?

- How does it support:
 - Teaching?
 - Research?
 - Public Service?
 - Patient Care?

Is Most Appropriate Purchasing Option Being Utilized?

- AggieBuy is preferred for most goods procurement
- If applicable, is a university purchasing agreement being utilized?

Are there More Sustainable Options Available?

- e.g., Aggie Surplus; using existing items; or borrowing item from another department

9 Questions to Ask Before Approving

Are Correct Account(s) Being Used?

- Are funds appropriate for requested purchase?

Are Lower Cost Options Available?

- Consider overall cost (administrative overhead), **not** just sale price

Is Appropriate Delivery Location Indicated?

- Will delivery fit, and will there be someone available to receive order?

9 Questions to Ask Before Approving

Is Request Appropriate from Person Making It?

- Do they have the necessary authority and information to make the request?
- Are there any conflicts of interest or potential conflicts of interest?

Are Items at or Above \$5000 Being Purchased?

- Is correct Custodial Code/Building Code/Room # included?
- Check with departmental Asset Representative if needed to confirm information

Are Correct Commodity Codes Indicated?

- This is primarily applicable for documents created in the Kuali Financial System (KFS), but can occasionally apply to AggieBuy transactions as well.

Account Delegates Can Also Approve

- **Critical** for ensuring that approval process continues **uninterrupted** if Fiscal Officer is out of the office or otherwise unavailable:
 - EVERY account should have at least ONE Account Delegate, but **more than one is strongly recommended**
 - Account Delegate(s) should clearly understand purpose of the account, what's allowed and what is not, and what they should be reviewing **prior** to approval

Fiscal Officers: Keep Account Delegate Records Up-To-Date!

- Review the accounts for which you are the fiscal officer at least twice a year
- The [Account Delegate Lookup \(167\)](#) is a fantastic report in **FIS Decision Support (DS)** for this information
- Complete the appropriate **Account Delegate** document(s) in KFS to remove and/or add new account delegates; *fiscal officer/account delegate information is utilized for document routing in **both KFS and AggieBuy***

Communicating Approval Requirements to Your Document Initiators

- Let your initiators know what they need to do **BEFORE** they submit documents
 - For example, if you want them to add a business reason in the **Comments** or **Notes** section, make sure they know this **ahead of time**
 - Finding out they did something “wrong after the fact” is generally not the “best” method

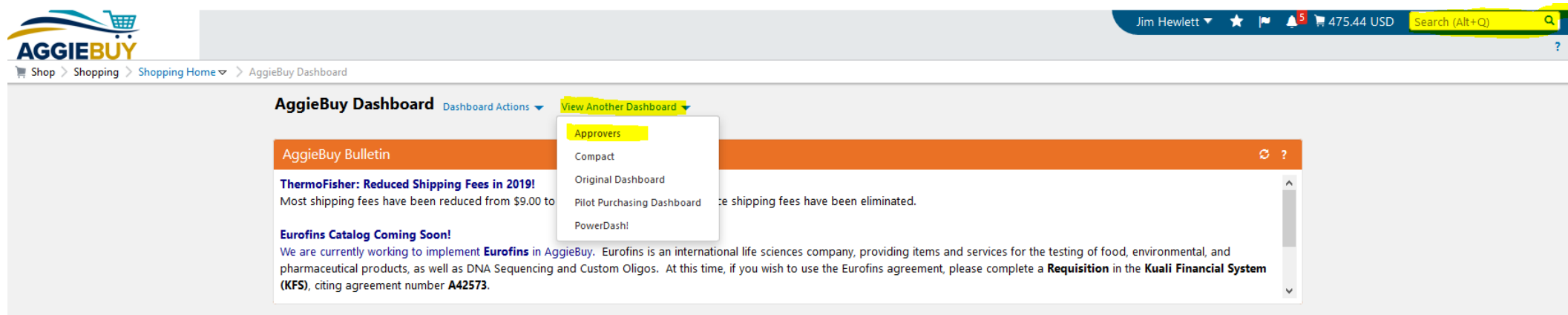
AggieBuy Requisition Approval Process



1. Requester submits **Requisition**
2. System Email sent to approver (if opted in)
3. Approver logs in to AggieBuy and accesses order from **Action Items** section or field from the upper right corner
4. Approver clicks on **Document Actions** and assigns to himself/herself
5. Approver carefully reviews and then **approves, returns, rejects**, or edits **Requisition**

AggieBuy Requisition Approval Process

- On the AggieBuy Dashboard:
 - Enter the Requisition number in the upper right corner, or
 - Select **View Another Dashboard**, select **Approvers**



AggieBuy Requisition Approval Process

- On the **Approver Dash**, click the links in the **Action Items** section

The screenshot displays the 'Approver Dash' interface. At the top, there's a header 'Approver Dash' with a link 'View Another Dashboard'. Below this is an 'AggieBuy Bulletin' section with a placeholder message. The main content area is divided into three columns. The left column, 'Action Items', is highlighted with a green bar and contains two sections: 'My Assigned Approvals' with 10 Requisitions To Approve and 2 Purchase Orders, and 'Unassigned Approvals' with 5 Requisitions and 75 Purchase Orders. The middle column, 'Document Search', features a search bar with a dropdown menu set to 'All Documents' and a search button. Below the search bar are links for 'Shortcuts' (My Requisitions, My Purchase Orders, My Invoices) and 'Approvals' (My Approvals, Approval Notifications, My Recent Approvals). The right column, 'Campus Services', lists various services with checkboxes: Aggie Surplus, Central Storehouse, Document Storage & Shred, FedEx, Gas Cylinder Returns, Reprographics Document Services, and Software @ UC Davis.

Approver Dash [View Another Dashboard](#)

AggieBuy Bulletin

This is a placeholder for important messaging! It can't be shorter, and is only here occasionally.

Action Items

My Assigned Approvals

- 10 Requisitions To Approve
- 2 Purchase Orders

Unassigned Approvals

- 5 Requisitions
- 75 Purchase Orders

Document Search

Search

Shortcuts

[My Requisitions](#) | [My Purchase Orders](#) | [My Invoices](#)

Approvals

[My Approvals](#) | [Approval Notifications](#) | [My Recent Approvals](#)



Campus Services


- ☒ Aggie Surplus
- ☒ Central Storehouse
- ☒ Document Storage & Shred
- ☒ FedEx
- ☒ Gas Cylinder Returns
- ☒ Reprographics Document Services
- ☒ Software @ UC Davis


AggieBuy Requisition Approval Process


- Listed by Account
- Click on desired link to open the applicable Requisition(s)


Sort by:

Hide requisition details  expand all  collapse all

▶  **My PR Approvals [3 results]**

▶  **Chart/Account: 3-0019900 (ENGR: DEAN'S OFFICE GENERAL FUNDS): (All Values) [1 result]**

▶  **Chart/Account: 3-6620110 (A&FS: Financial Systems): (All Values) [1 result]**

▶  **Chart/Account: 3-SSGGEND (ANTHROPOLOGY AND SOCIOLOGY ADMIN CLUSTER): (All Values) [1 result]**

AggieBuy Requisition Approval Process

- Clicking “Assign” allows you to take action on it; leaving it unassigned allows others (delegates) to take action on it; you can assign Requisition to yourself from the **Action Items** list

Sort by:

Submit date newest first

?

Hide requisition details

expand all

collapse all

Results per folder: 20

Chart/Account: 3-6109009 (UTILITIES:MATL PASS THRU-RCHG): (All Values) [2 results]

Requisition No.	Suppliers:	Assigned Approver	PR Date/Time	Requisitioner	Amount	Action
<div>1705692</div> <div>Requisition Name</div> <div>No. of line items</div>	Office Max VWR International	Not Assigned	11/9/2016 2:04 PM	Requester 5 UC Davis	177.36 USD	Assign
<div>2016-11-09 davisrequester5 01</div> <div>2</div>			<div>95 Days in folder [Chart/Account: 3-6109009 (UTILITIES:MATL PASS THRU-RCHG): (All Values)]</div>			
<div>1675271</div> <div>Requisition Name</div> <div>No. of line items</div>	Office Max	Not Assigned	9/29/2016 10:00 AM	Requester 5 UC Davis	11.47 USD	Assign
<div>2016-09-29 davisrequester5 01</div> <div>1</div>			<div>137 Days in folder [Chart/Account: 3-6109009 (UTILITIES:MATL PASS THRU-RCHG): (All Values)]</div>			

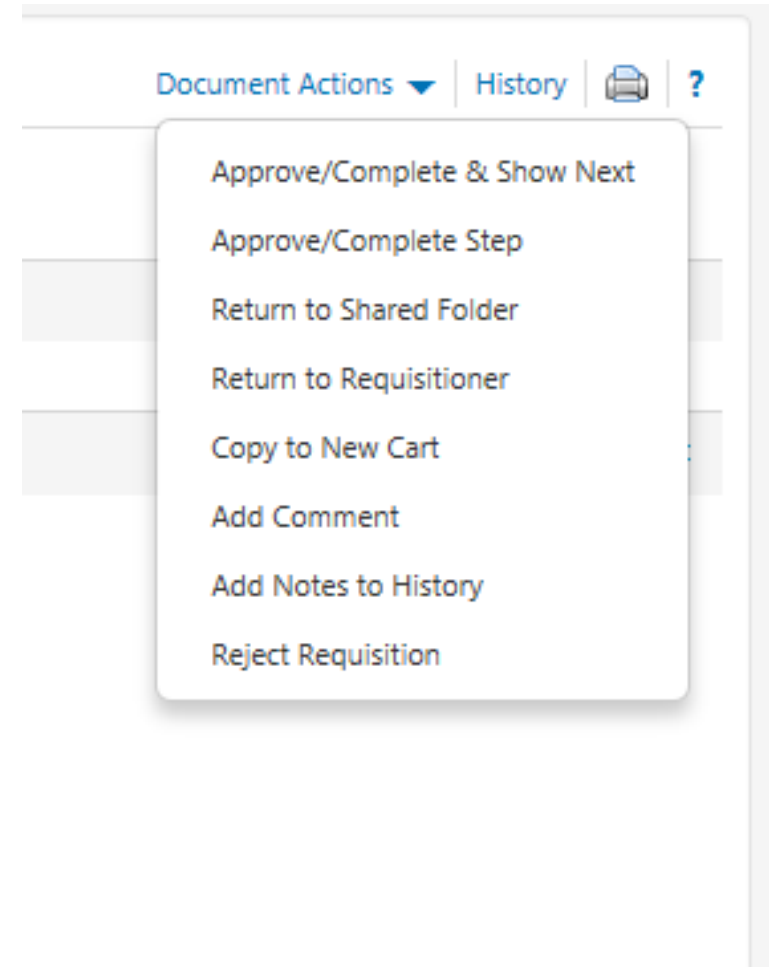
AggieBuy Requisition Approval Process

You can also assign the Requisition to yourself by opening it and clicking on the **Assign to Myself** under the **Document Actions** menu

The screenshot displays the AggieBuy Requisition Approval Process interface. On the left, a sidebar shows the requisition details: **Requisition: 1705676**, dated 2016-11-09, with status **Pending** and a document total of **191.35 USD**. The main content area is titled **Summary** and shows a **Shipping** section with a **Ship To** address: Attn: Requester 3 UC Davis, Room/Ste/Floor 1288 Soc Sci & Humn Bldg, Dept. Sociology, ONE SHIELDS AVE, SOCIAL SCIENCES & HUMANITIES BLDG, DAVIS, CA 95616-5270, United States. A **Document Actions** dropdown menu is open, showing options: **Assign to myself** (highlighted), **Approve/complete step & show next**, **Approve/complete step**, **Copy to New Cart**, **Add Comment**, and **Add Notes to History**. The interface also includes a **Back to Approvals** link, a **1 of 11 Results** indicator, and a folder path: **Folder: Chart/Account: 3-6620110 (A&FS: Financial Systems): (All Values)**.

AggieBuy Requisition Approval Process

- **Approve/Complete Step:** Approve Req
- **Return to Shared Folder:** You want to unassign the Req so that other delegates can take action
- **Return to Requisitioner:** Returns Requisition to Requester to make changes (*email notification automatically sent to user*)
- **Reject Requisition:** Cancels the Requisition and it becomes read-only (*email notification automatically sent to user*)



AggieBuy Requisition Approval Process

- As an Approver, you can click on the **edit** link to modify **any** section of the Requisition
- Add a **note** indicating the reason(s) why you made the changes you did
- The **History** section will automatically notate **who** made the changes, **what** changes were made, and **date/time** changes were made

Requisition: 1978409
2017-08-16 davisrequester 01

Status: Pending
Document Total: 5.56 USD

Requisition ▾
Summary
Shipping
Payment: Chart of Accounts

General
Capital Asset(s)
Internal Notes and Attachm...
Supplier Information
Taxes, Shipping & Handling

General

Document Actions ▾ History

edit

Status
Submitted
Cart Name
Prepared by
Department
Note to all Suppliers

Pending
Post-Department Approval (Specialty Approver UC Davis)
8/21/2017 8:11 AM
2017-08-16 davisrequester 01
Requester UC Davis
ACCOUNTING & FINANCIAL SERVICE (062005)

no note

⚠ Notes for the following suppliers are unsupported and will not be sent: Office Max

no value

✓

Shopping on Behalf Of:
ENGINEERING-SHARED SERVICES (024070)
ENGINEERING-SHARED SERVICES (024070)

Department Approver
no value

edit

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AggieBuy Requisition History Log

Requisition: 1978409
2017-08-16 davisrequester 01

Status: **Pending**
Document Total: **5.56 USD**

Requisition ▾

Summary

Shipping

Payment: Chart of Accounts

General

Capital Asset(s)

Internal Notes and Attachm...

Supplier Information

Taxes, Shipping & Handling

PR Approvals

Summary

Document Actions ▾ History ?

Expand All Collapse All

Shipping

Ship To

Attn: Joe Smith
Room/Ste/Floor 234
Dept. ACCOUNTING & FINANCIAL
1 EQUESTRIAN LN
EQUESTRIAN CNTR COVERED
DAVIS, CA 95616-5270
United States

Delivery Options

Expedite
Ship Via
Requested Delivery Date

History - Requisition 1978409 - Mozilla Firefox

https://usertest.sciquest.com/apps/Router/ReqAuditTrail?ReqId=1978409&ViewContentOnly=

Click to filter history ?

Export CSV

Results Per Page 20 ▾

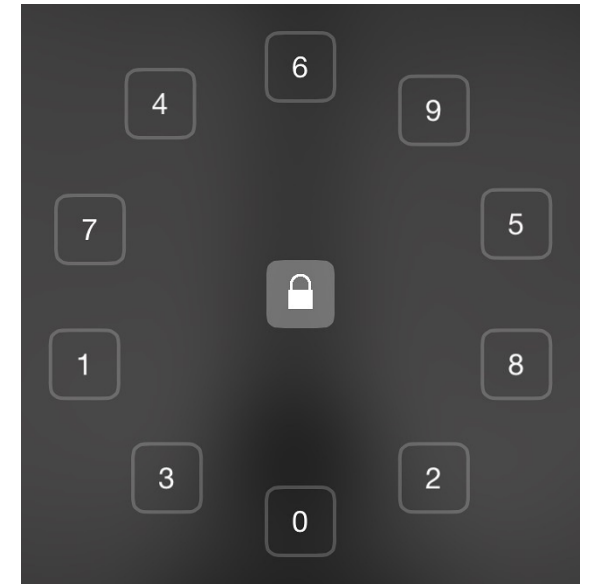
Records found: 13

Page 1 of 1 ?

Line No	Date/Time	User	Step(s)	Action	Field Name	From	To	Note
	1/16/2019 12:07 PM	Specialty Approver UC Davis	Post- Department Approval	Requisition modified	Shipping address	Attn: Rose Liu, Room/Ste/Floor 150, Dept. ACCOUNTING & FINANCIAL SERVICE, 1 EQUESTRIAN LN, EQUEST... more...	Attn: Joe Smith, Room/Ste/Floor 234, Dept. ACCOUNTING & FINANCIAL SERVICE, 1 EQUESTRIAN LN, EQUES... more...	

AggieBuy Requisition Approval Alternate Process

- Approval Email **passcode** can be set up by approver and allows approver to approve via email by entering their passcode.
- This option does NOT relieve the approver of completing a complete and thorough review of all the information in the email prior to indicating acceptance and approval of transaction.
- Instructions for setting up an approval code are [available here](#).



KFS Requisition Approval Process

1. Requester submits **Requisition**
2. System Email sent to approver (if opted in)
3. Approver logs in to KFS and accesses Requisition from **Action Items** section
4. Approver clicks on **Document Number** to open it, carefully reviews it, and scrolls to bottom of document to **approve** or **disapprove**
5. NOTE: Fiscal approver and account delegates generally only have edit ability for changing account to another one for which they are also the fiscal officer/delegate



KFS Requisition Approval Process

kuali
financial system

UCDAVIS

[Need Help?](#)

[Main Menu](#) [Reference Tables](#) [Decision Support](#) [Administration](#)

[action list \(5\)](#) [doc search](#) [?](#)

Logged in User: **jimbob** [Logout](#)

Message Of The Day

Getting an error when attaching a file to a document? Check the file size; the maximum file size is 5 MB for each attachment. It may be too large and should be separated into smaller files or saved as reduced size file. More information on attachments at <http://afs.ucdavis.edu/systems/kuali/notes-attachments.html>.

Chart of Accounts ?	Financial Transactions	Purchasing / Accounts Payable	Accounts Receivable
Financial Accounting	Financial Processing	Purchasing	Transactions



KFS Requisition Approval Process

<u>50609300</u>	Purchase Order Void	Aggiebuy UCDA001869T by UC Davis, Reque	ENROUTE, Awaiting Fiscal Officer	APPROVE	<u>LASALA, DANIEL E</u>	03:21 PM 10/30/2018	
<u>50617607</u>	Journal Voucher	LC Test Document	ENROUTE	ACKNOWLEDGE	<u>FINN, COURTNEY M</u>	10:33 AM 11/30/2018	
<u>50619576</u>	Requisition	testing	ENROUTE, Awaiting Fiscal Officer	APPROVE	<u>HEWLETT, JAMES G</u>	01:04 PM 12/07/2018	



KFS Requisition Approval Process

Technical Contact Email:	alismith@ucdavis.edu	Print Not to Exceed Amount on the Repair Order?:	No
Account Summary	▶ show		
View Related Documents	▶ show		
View Payment History	▶ show		
General Ledger Pending Entries	▶ show		
Notes and Attachments (0)	▶ show		
Ad Hoc Recipients	▶ show		
Route Log	▶ show		

[calculate](#) [send ad hoc request](#) [save](#) [reload](#) [approve](#) [disapprove](#) [close](#) [copy](#)

[Go To Top](#)



Best Practices for Fiscal Officers

- OPTIONAL: Set up additional approvers as **Department Approvers** in AggieBuy: (More information [online](#))
 - These are generally **lab managers** or **office managers** who will be reviewing and approving a transaction PRIOR to Requisition routing to Fiscal Officer/Account Delegates
 - Can be helpful if **additional review** needs to be completed **prior to fiscal officer approval**
 - *CAUTION: Fiscal Officer/Account Delegate CANNOT approve transaction UNTIL Department Approver has approved it, so identify any additional approvers carefully; similar to ad hoc routing a KFS Requisition for approval; fiscal officer cannot approve until the ad hoc recipient has approved it first.*

Best Practices for Approvers

- Too many documents to review and approve?
 - Work with existing account delegates to streamline the approval process
 - Set up additional delegates for approval as needed
- Ask Requesters to combine/bundle requests when possible to reduce the number of transactions requiring approval



Best Practices for Approvers

- If editing a Requisition, add notes indicating “why” you made an edit to a Requisition
- If Requesters routinely make the same errors, communicate with them to ensure they know what needs to be done;
Communication is Key!



Audience Participation! Question 3

- Name something new you learned today!



Online Resources

- Approving AggieBuy Orders:
<https://supplychain.ucdavis.edu/procure-contract/aggiebuy/approving>
- General Information on Approving Transactions:
 - <http://afs.ucdavis.edu/resources/fiscal-officer/fiscal-officer-overview/approving-transactions.html>



Question & Answer Time!



Need Additional Help?

- FIS Help Desk
 - fishelp@ucdavis.edu
- AggieBuy Help Desk:
 - ab-help@ucdavis.edu



Thanks for your Participation!

