Account Manager 102

OBJECTIVES

- Understand the various types of routing
- Know why delegates are used and how to set them up
- Understand how and when to use Workgroups and Review Hierarchies
- Ability to use the MCAM and MCAD documents
- Knowledge of Decision Support queries pertaining to the above objectives

CONTENTS

ROUTING

The approval of a transaction is accomplished through electronic routing. DaFIS routing provides the following:

- Checks and balances to ensure that financial transactions are appropriate and accurate (PPM 330-10 IV.C: http://www.mrak.ucdavis.edu/web-mans/ppm/330/330-10.htm) and that segregation of duties is provided (PPM 330-11: http://www.mrak.ucdavis.edu/web-mans/ppm/330/330-11.htm).
- The ability to notify non-approvers of transactions in which they might have an interest
- Optional forms of document routing to meet specific departmental or ad hoc needs

The following types of routing are available in DaFIS:

Ad hoc – This can be used by any user at any point in the routing process. There are two options provided: Approval Required or FYI (review only). If you select Approval Required, the document routes to the specified user as soon as you click 

. If you select FYI, the document routes to the specified user only after all required approvals have been made.

Ad hoc routing can be used in situations where the necessary approvals are not accomplished through the other routing processes. For example, a membership requiring a dean/vice chancellor's approval might be ad hoc routed.

Information on setting up ad hoc routing is available at http://dafis.ucdavis.edu/help/1min/adhoc.cfm.

Account Manager – Unless the initiator *ad hoc* routes a document, the account manager will be the first in the routing chain. The document routes simultaneously to the manager for every account cited. If the account manager is the initiator, the document is automatically approved. However, if it contains other users' accounts, it will route to those managers for approval.

Although most financial documents have account manager routing, several do not. For a list of these documents, see Appendix A.

Review Hierarchy – This allows for additional accountability above the account manager level. Review hierarchy routing is based on document type and/or transaction value. It can be for Approval Required or as FYI, and can route to an individual or a workgroup. Review Hierarchy routing is established by departments to meet their specific needs.

Special Conditions – This is used to ensure that specified activities, or activities in specifically funded accounts, are routed to the appropriate offices for review and/or approval. The system automatically routes documents based on document type, sub-fund group, chart, and/or object level.

Special conditions routing is established by Accounting & Financial Services, but may be made to any appropriate administrative office. For example, all animal purchases route to the office of the campus veterinarian for approval.

Account Reviewer – An FYI copy of the document is routed to the account reviewer(s) established for each account cited. The account reviewer(s) receive the document after all required approvals have been made. Account reviewers are established on the **Account** document, and are optional. This should be someone who has interest in seeing *all* transactions made on that account, but who does not need to be an approver of those transactions.

To view a flowchart that illustrates the order of routing, see Appendix B.

DELEGATES

An account delegate is an individual who the account manager has selected to approve transactions on his/her behalf. Using delegates can aid in meeting the separation of duties requirement detailed in PPM 330-11 (http://www.mrak.ucdavis.edu/web-mans/ppm/330/330-11.htm) and enables transactions to be completed in the account manager's absence.

Delegates are established based on document type and dollar amount. There are two types of delegates in DaFIS:

Primary – This delegate will receive documents in place of the account manager. The account manager can still locate and approve the documents, but they will route directly to the delegate's In Box. If an account has more than one primary delegate, the document will route to all of them. When one of the primary delegates approves the document, it is removed from the In Boxes of all other primary delegates.

Establishing primary delegates can allow the account manager to focus on the more critical transactions. For example, you could have a primary delegate for all low value purchases (say, under $250).

Non-primary – Documents will continue to route to the account manager; however, the non-primary delegate can still access and approve documents for which they are given authority. Once a non-primary delegate approves a document, it disappears from the account manager's In Box.

Establishing non-primary delegates allows business to go on in the absence of the account manager. It is strongly recommended that every account have at least one non-primary delegate that can approve *all* transactions. Remember to set up account delegates *before* you are scheduled to be out.

Assigning and Maintaining Delegates

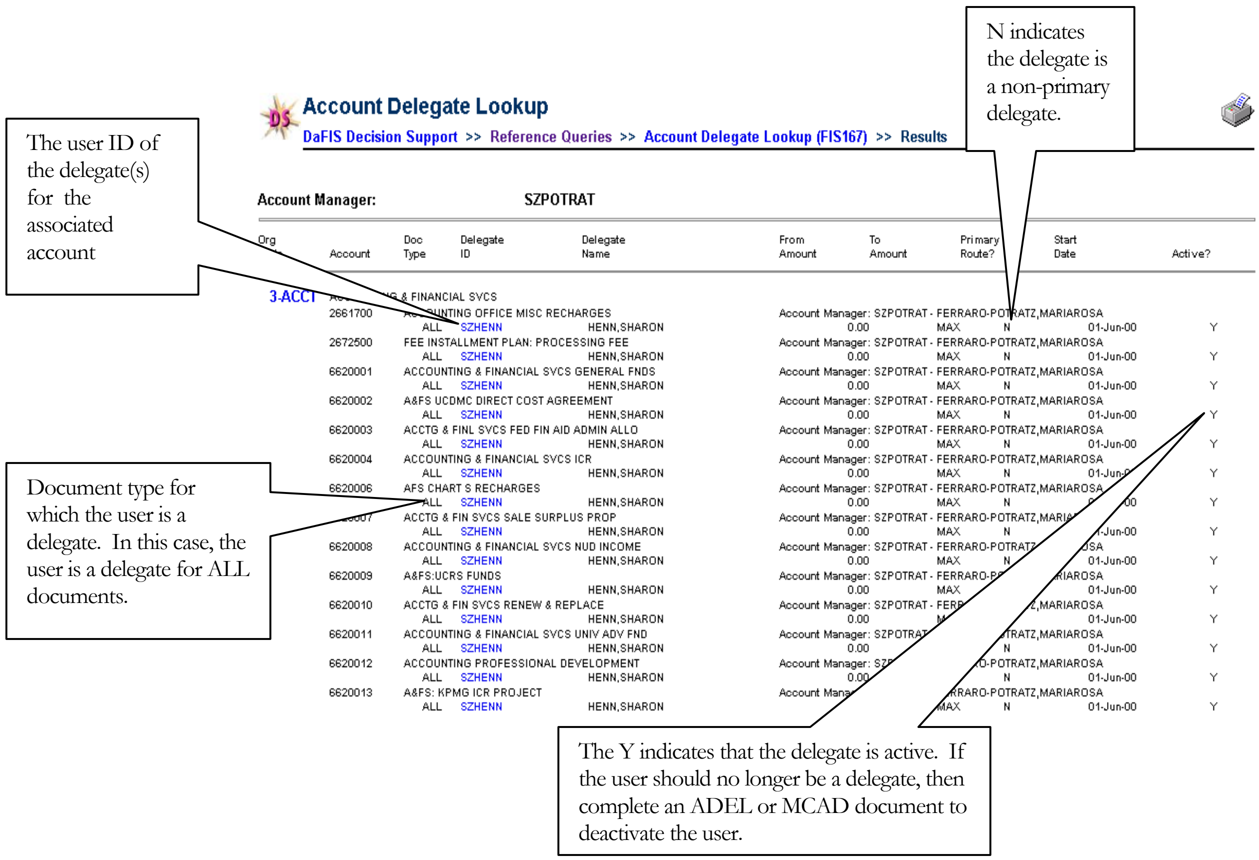
When establishing a new account, there is a **Default Delegate** field provided on the **Account** document. This will establish a non-primary delegate with the authority to approve all transactions for all dollar amounts. It is highly recommended that this be done for all accounts.

To create and/or maintain delegates on established accounts, use the **Account Delegate (ADEL)** or the **Mass Change Account Delegate (MCAD)** document. If you want to create multiple matching primary delegates, or modify any existing, you will have to use the ADEL document, since the MCAD won't allow it. For assistance in completing these documents, see the online reference manual at http://dafis.ucdavis.edu/help/olrm/.

It is a good idea to periodically run the **Account Delegate Lookup (167)** report in Decision Support. This query allows you to run a list of all current delegates.

Whenever you need to deactivate delegates, remember to use the ADEL or MCAD document.

Below are sample results for this query:



For more information on using delegates, see http://dafis.ucdavis.edu/help/tutorials/.

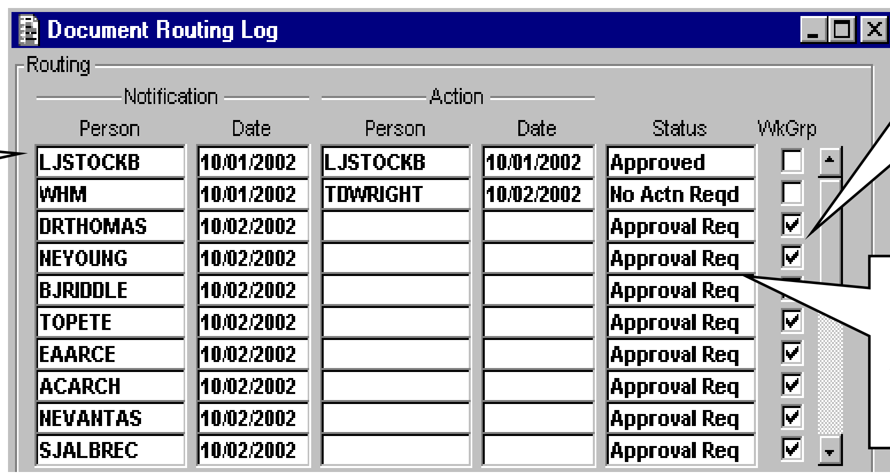
WORKGROUPS

Workgroups are selections of FIS users who share the collective responsibility of reviewing and/or approving documents, *after* the documents have gone through account manager routing. They are used in special conditions and review hierarchy routings only. Workgroups cannot be used as delegates or for ad hoc routing.

Workgroups are established at the departmental level using the **Workgroup** document. Once established, a Workgroup can be specified in a Review Hierarchy routing. For more information or for assistance in completing the **Workgroup** document, see the online reference manual at http://dafis.ucdavis.edu/help/olrm/.

The following routing log illustrates routing to a Workgroup. Any one person in that workgroup can approve for all:

This column indicates who has received the document. You can double-click on a user ID to get more information about the user.

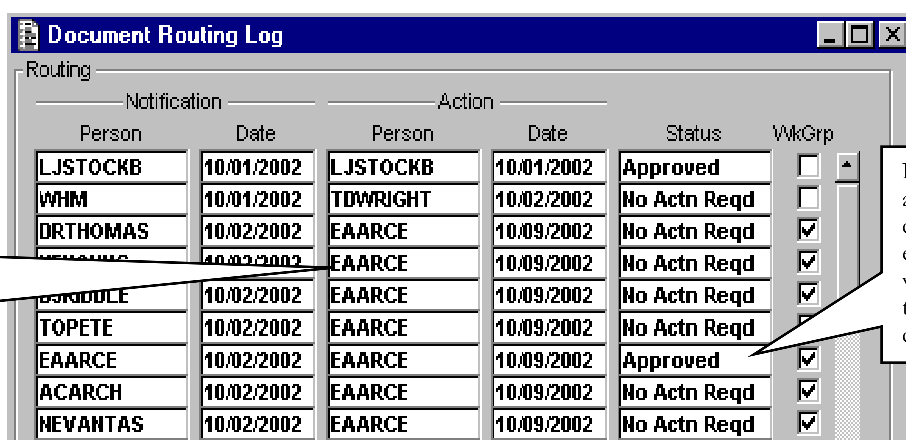


A checkmark indicates this document has routed to a workgroup.

Indicates that approval is still needed by those listed in the Person column

When the document has been approved by a member of the workgroup, the routing log will appear as follows:

Shows that this document was approved by EAARCE, on behalf of the Accounts Payable workgroup



Because EAARCE approved this document, no one else in the workgroup has to take action on the document.

REVIEW HIERARCHIES

Review Hierarchies allow documents to be routed to additional users after account manager approval. They can be established as approval required or for review only, can route to workgroups or individuals, and are based on document type and dollar amount.

Review hierarchies are created using the **Review Hierarchy** (RVWH) document, and are used to establish routing outside of what is normal for a specific document. For example, the RVWH document itself does not route. If an organization (e.g., Dean's office) wants to see all these documents, they can create a review hierarchy.

It is recommended that Dean's and Vice Chancellor's offices set up review hierarchies to see the following documents: Account, Organization, Review Hierarchy, Account Delegate, Current Budget and Base Budget.

To find a list of review hierarchies in your organization, use the **Review Hierarchy Lookup (166)** query in Decision Support. You can search for review hierarchies by many fields, including organization and workgroup ID. It is important to run this report periodically to determine whether your review hierarchies are current.

Below is a sample result from this query:

Review Hierarchy Lookup

DaFIS Decision Support >> Reference Queries >> Review Hierarchy Lookup (FIS166) >> Results

User ID: **SZHENN**

Org Code	Doc Type	User/ WorkGroup	User/ WorkGroup Name	From Amount	To Amount	Special Conditions	Review Order	Review Only?	Active?
3-ACCT	- ACCOUNTING & FINANCIAL SVCS								
	AA	- Add Asset							
		ACCTGAPPRL SZHENN	*ACCTG APPROVAL* HENN,SHARON	0.00	MAX	N	FIRST	N	Y
	ACC	- Account							
		ACCTGAPPRL SZHENN	*ACCTG APPROVAL* HENN,SHARON	0.00	MAX	N	FIRST	N	Y
	ADEL	- Account Delegate							
		ACCTGAPPRL SZHENN	*ACCTG APPROVAL* HENN,SHARON	0.00	MAX	N	FIRST	N	Y
	AR	- Asset Retirement							
		ACCTGAPPRL SZHENN	*ACCTG APPROVAL* HENN,SHARON				FIRST	N	Y
	BB	- Base Budget Adjustment							
		ACCTGAPPRL SZHENN	*ACCTG APPROVAL* HENN,SHARON	0.00	MAX	N	FIRST	N	Y
	CB	- Current Budget Adjustment							
		ACCTGAPPRL SZHENN	*ACCTG APPROVAL* HENN,SHARON	0.00	MAX	N	FIRST	N	Y
	EEV	- AP Entertainment Expense Voucher							
		ACCTGAPPRL SZHENN	*ACCTG APPROVAL* HENN,SHARON	0.00	MAX	N	FIRST	N	Y

Identifies the name of the workgroup listed in this review

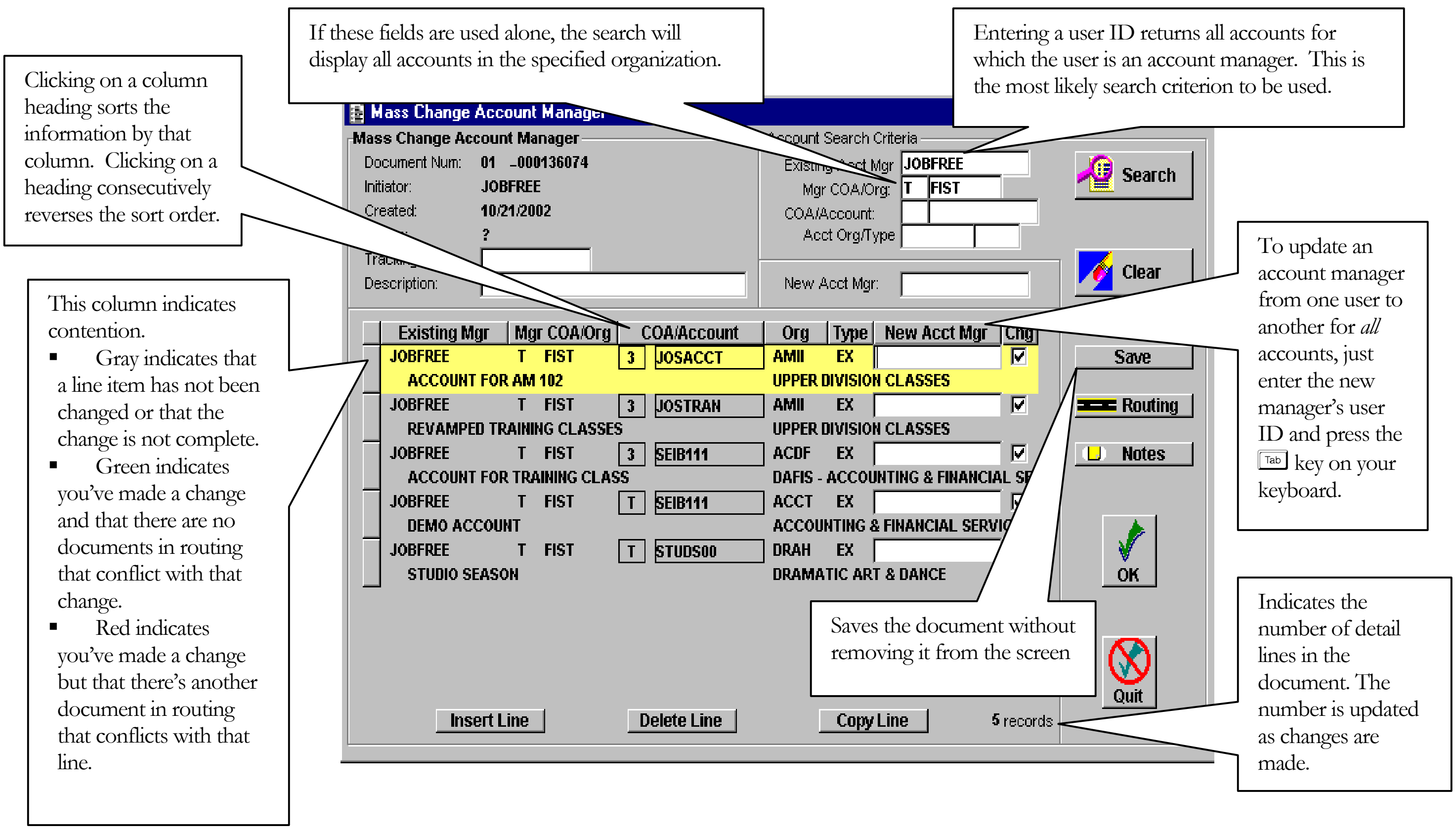
Reflects whether the user is first or last in the review hierarchy; it will also say FIRST if there is only one user or workgroup in the review hierarchy

N indicates the user's role is to approve, not just review the document type EEV.

MASS CHANGE ACCOUNT MANAGER

The **Mass Change Account Manager** (MCAM) document allows you to change the account manager for many accounts at the same time. (The alternative is to complete a separate **Account** document for each account that needs to be changed.) Any user can complete an MCAM document, but it will route to the existing managers for all accounts cited. A *single* disapproval of the document cancels the document for *all*. Once an MCAM document is in routing, it cannot be edited.

Although many characteristics of the MCAM are common to all DaFIS documents, there are some unusual features, which are identified in the illustration below:



The MCAM document allows you to specify account manager assignments for any number of selected accounts. You can enter the new account manager's User ID once to update all selected accounts, or you can update each line item individually.

Contention

Contention exists when you attempt to update the account manager while there is one or more **Account** or MCAM document currently in routing. When there is contention, the **Contention Indicator** column will be red for those accounts that are in contention. You can click on the red button to see the number of the conflicting document.

If the contention indicator column is red for any of the line items when you attempt to route the document, you will receive a prompt, asking if you want to continue. You can then cancel the request to route/approve, or proceed. A red-flagged account isn't necessarily disqualified for the life of the MCAM document. If the prior document happens to be disapproved while the later document is still in routing, the contention goes away, so the red flags go away.

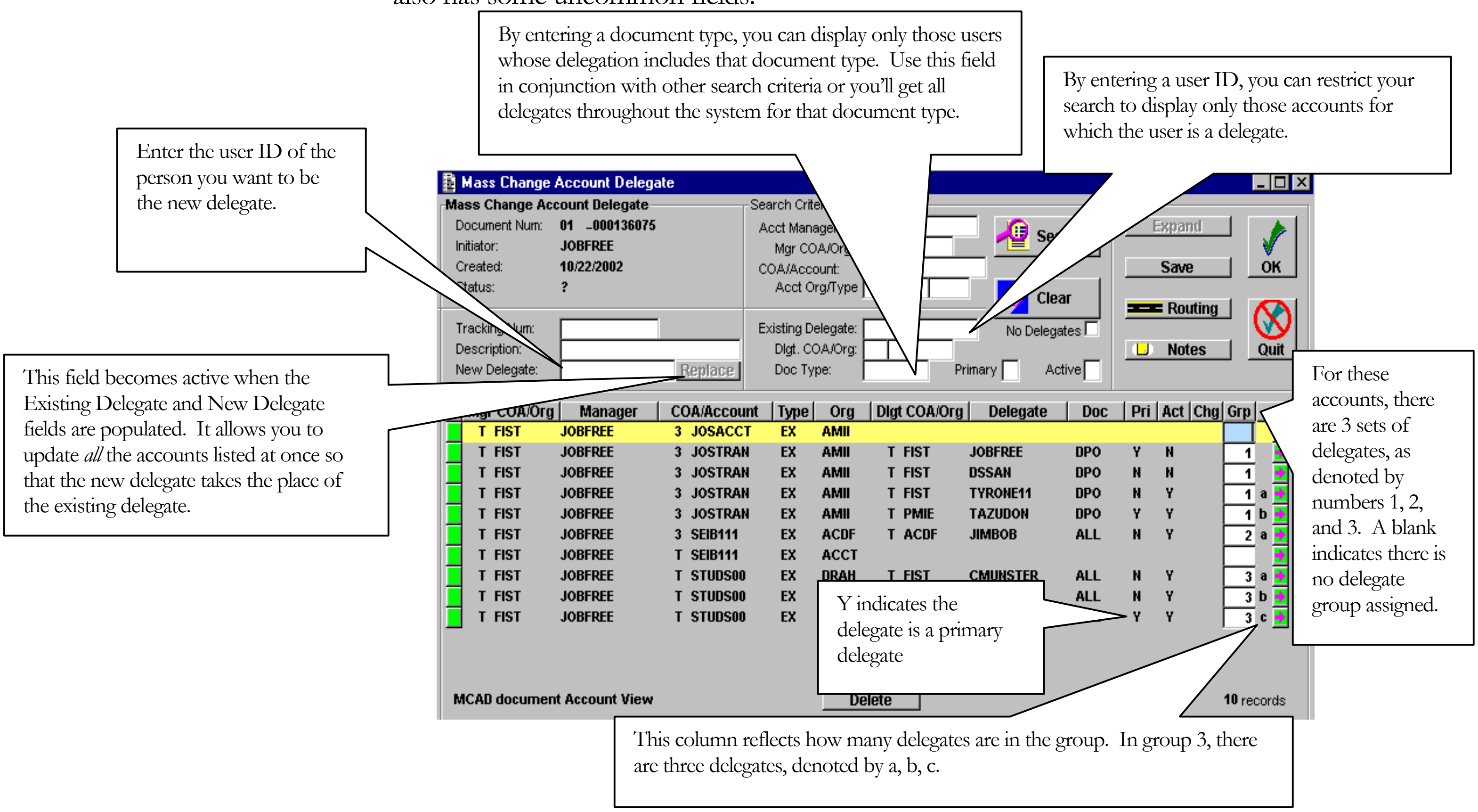
Upon final approval of the document, the account records are updated to reflect the desired account manager changes, except for any accounts identified by detail lines with a red contention indicator. The red-flagged accounts are skipped. In the unlikely event a given line has a green contention indicator, but for other unforeseen reasons the account update cannot be done, that detail line is updated to indicate the particular account was not changed as desired. This exceptional condition is also labeled as a red contention indicator in the approved document. Thus, an approved document can be perused for the red indicators to determine which, if any, account updates did not occur.

For assistance in completing the MCAM document, see the online reference manual at http://dafis.ucdavis.edu/help/olrm/.

MASS CHANGE ACCOUNT DELEGATE

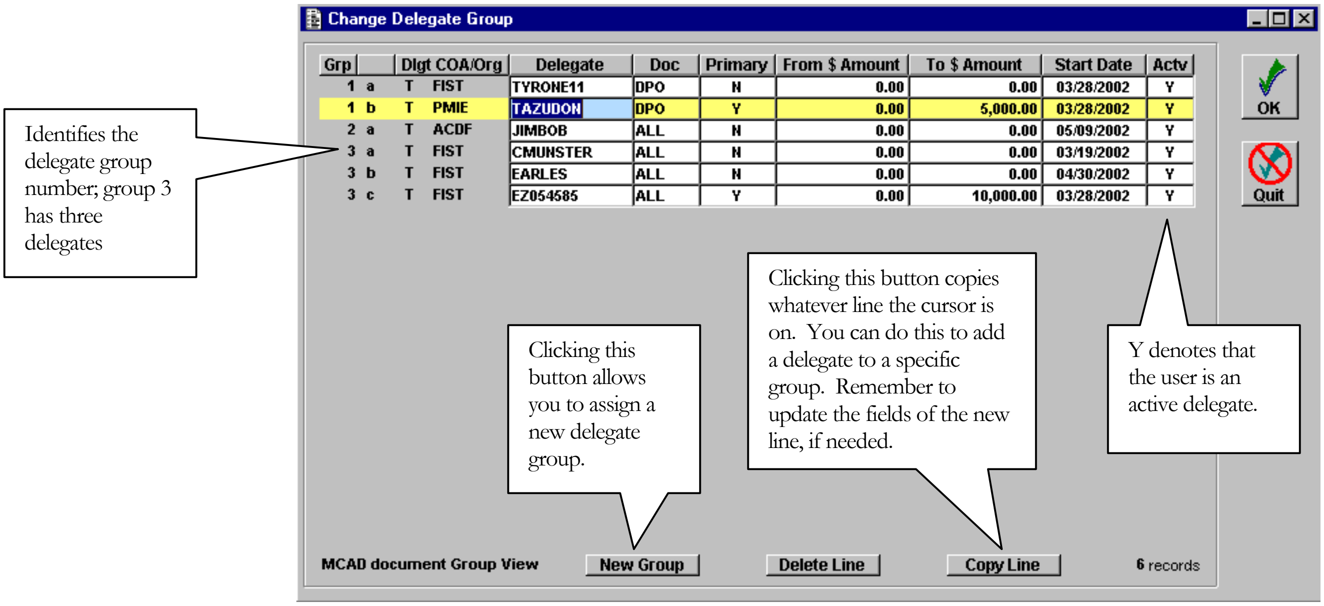
The **Mass Change Account Delegate** (MCAD) document allows you to change the account delegate(s) on several accounts at the same time. The alternative is to complete a separate **Account Delegate** (ADEL) document for each account that needs to be changed. Any user can complete an MCAD document, however it routes to all account managers for the cited accounts. A *single* disapproval of the document cancels the document for *all*. Once an MCAD document is in routing, it cannot be edited.

The MCAD has many features that are common to all DaFIS documents; however, it also has some uncommon fields:



The MCAD document allows you to replace an existing delegate with a new delegate by populating both fields and then clicking the **Replace** button. Or, you can update each delegate individually by clicking on the button.

When you click on the button, you will be taken to this screen:



Contention

Like the MCAM document, the MCAD has a contention indicator. When there is contention, the **Contention Indicator** column will be red for all accounts that are in contention. You can click on the red button to see the number of the conflicting document that is currently in routing.

If the contention indicator column is red for any of the line items when you attempt to route the document, you will find that the document won't route, which is where the MCAD differs from the MCAM. At this point, you'll need to delete the lines in contention, or quit the document and complete it later when the contention is resolved.

For assistance in completing the MCAD document, see the online reference manual at http://dafis.ucdavis.edu/help/olrm/.

APPENDIX A - DOCUMENTS THAT BYPASS ACCOUNT MANAGER ROUTING

Document Name	Generated by
Cancel Check	Accounts Payable
Cancel Non-Check	Accounts Payable
Closed Payment Adjustment	Accounts Payable
Fund Balance Adjustment	Financial Services
Fund Balance Adjustment - Year End	Financial Services
Hold Payment	Accounts Payable
Journal Voucher	Financial Services
Journal Voucher - Year End	Financial Services
Manual/Rush Check	Accounts Payable
Non-Check Disbursement	Accounts Payable
Restricted Base Budget Adjustment	Planning & Budget
Restricted Current Budget Adjustment	Planning & Budget
Stale Dated Check	Accounts Payable & Internal Control
State Tax Remittance	Accounts Payable
Cancel/Close Departmental Purchase Order	Departments
FIS User	Departments
Organization	Departments
Project	Departments
Statement of Cash Collections	Departments
Sub Object	Departments
Review Hierarchy	Departments
Workgroup	Departments
Most Accounts Receivable maintenance	Departments

Remember: any document initiated by the account manager bypasses account manager routing unless there are accounts with other managers cited. If an account manager does initiate a document that cites only their accounts, special care should be taken to ensure accuracy.

You may want to set up review hierarchy routing for the documents created by the department (excluding Statement of Cash Collections, which doesn't route).

Appendix B – Routing Order

Document Initiator

Ad hoc routing can be added at any point in the routing process, and can be initiated by any user in the routing chain. Ad hoc routing can be for approval or FYI.

Account Manager/Primary Delegate

Review Hierarchy

Special Conditions Workgroup

(EH&S, Extramural, Facilities Services, Accounts Payable)

At this point, the document is approved. FYI routing takes place only after the document is fully approved.

FYI Reviewers

(Anyone listed as a reviewer; could be individual or workgroup)

APPENDIX C - WEB RESOURCES FOR AM 102

Below are some web resources which you may find helpful when working with the material presented in this class.

- Need more information on **routing**? http://dafis.ucdavis.edu/help/whatisit/routing.cfm.

- Looking for additional information about **delegates**? http://dafis.ucdavis.edu/help/tutorials/Acct_Mgmt/Delegate/.

- Want assistance with **workgroups** or **review hierarchies**? http://dafis.ucdavis.edu/help/howdoi/.

- Need step-by-step instructions for the **MCAM** or **MCAD** documents? Have a question on **a document field**, or **whether or not you're using the correct document**? Use the Online Reference Manual at http://dafis.ucdavis.edu/help/olrm/.
  Note: You can also access the online reference manuals directly from the document you are working in, by selecting Online Help from the Help menu.

- Need a **definition for an unfamiliar term**? http://dafis.ucdavis.edu/help/whatisit/glossary.cfm.

- Need a copy of a past **DaFIS Tip** or **Top 5 list**? http://dafis.ucdavis.edu/emails/.

- Still can't find the answer to your question? Visit the **Frequently Asked Questions** section of the DaFIS web site at http://dafis.ucdavis.edu/faq/.

- If you don't find your answer on our website, use the **Help Request Form** at http://dafis.ucdavis.edu/gethelp.cfm.

- To **practice the exercises** from this or other DaFIS classes, go to http://dafis.ucdavis.edu/exercises/.

NOTES: