

DaFIS Approvers

OBJECTIVES



- Understanding the role of the approver
- Identifying resources to help you as an approver
- Knowledge of the In Box features and their uses
- Ability to effectively review and take appropriate action on documents

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DAFIS USER'S GUIDE

ROLE OF THE APPROVER

Approval Authority

By virtue of their appointments, heads of organizational units have been delegated authority to approve departmental transactions. They in turn can delegate authority to departmental representatives within the boundaries of policy.

Approval of financial transactions is achieved in DaFIS via routing. As an approver, you may have documents routed to you in a number of ways. The types of routing include: Ad hoc, Account Manager, Review Hierarchy, Special Conditions and Account Reviewer. For explanations of these routing types, visit <http://dafis.ucdavis.edu/help/whatisit/routing.cfm>.

What Does Your Approval Mean?

When you approve a document, you certify that the document is appropriate, accurate, and compliant with policies. The following policies relating to approval authorization are from the UC Davis Policy and Procedure Manual (PPM), section 330-10:

III. Policy

B. Approval Authorization

3. In the case of a **Purchase Requisition**, interdepartmental order, and Personnel Action Form (PAF), the approval indicates that the material or service is needed by the department and that the charge is proper against the fund source designated on the document.
4. In the case of a **Vendor Invoice, Travel Expense Voucher, Entertainment Expense Voucher, Direct Charge**, prelisted payroll time sheet, or other document authorizing a cash payment, the approval indicates that materials have been received in proper condition or that services have been rendered in a satisfactory manner. Additionally:
 - a. Approval of travel vouchers indicates that the travel expenses do not exceed limits set in [PPM Section 300-10](#) (Travel Policies and Regulations) and that the travel was approved in advance and was for official university business.
 - b. Approval of entertainment expenses indicates that the conditions for approval specified in [PPM Section 330-80](#) (Entertainment with University-Controlled Funds) were met. The approver is certifying that the expenses were prudent and in keeping with accepted standards of the educational community and compatible with the university's status as a tax-supported institution.

RESOURCES

There are several resources available from within DaFIS Transaction Processing (TP) system that can assist you in the approval process:

- Information that appears in a document can be detailed for further clarification. For instance, double-click on the initiator's ID to see the full name, chart and organization for that person.
- Clicking on the **Help** link on the menu bar gives you three options:
 - **Online Help** – If you select this when a document is open, it will take you to our online reference manual (OLRM). The OLRM explains the use of the document, defines each field, and provides links to policy and related resources.

If you select this option when not in a document, it will take you to our Help Resources page. Specific to approvers would be the one-minute manuals pertaining to document forwarding and deferring, ad hoc routing, and approving Direct Charge, Vendor Invoice and Purchasing documents.

- **General DaFIS Information** – This takes you to the DaFIS website (<http://dafis.ucdavis.edu/>), which contains a wide range of information and resources.
- **Help Request Form** – By completing and submitting this form, you are notifying the DaFIS help desk that you need assistance.
- Transaction Processing (TP) queries allow you to access the tables that store reference information for DaFIS, such as the **Account** and **FIS User** tables. You usually access these tables from a document by double-clicking on a blank field. To access the tables from outside of a document, go to **Inquiries** on the menu bar and click on **Reference Tables**. To find a table, either scroll through the list, or enter the first part of the table name into the **Table Name** field and press .
- The Decision Support (DS) Reference Queries, like the queries in TP, provide access to reference information for DaFIS. In most cases, the queries in DS mimic the lookups in TP. However, one query that is available in DS but not in TP is the **FIS User Responsibility (214)** query.
- For additional help, see the web resources in the Appendix.

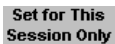
USER OPTIONS



DaFIS TP has features that enable you to perform your transactions more efficiently. Several of these can be set as user options, for use in a current session or as a permanent option.

The following user options pertain to approvers:

- **Go Directly to In Box** – By setting this option (i.e., clicking the check box), and saving the profile, you will bypass the Welcome to FIS screen on each subsequent login. You will be taken directly to your In Box, saving you an extra mouse click at each login.
- **Repeat Document In Box** – With this option set, each time you act on a document routed to your In Box, the next document pending your approval opens automatically. This can save considerable time, removing the need to locate and open each document individually.
- **Ad Hoc Routing** - This option allows you to route a document to a person not in the normal routing chain. In order to ad hoc route to someone, you need to select this option *before* approving the document. (More information on ad hoc routing is located at <http://dafis.ucdavis.edu/help/1min/adhoc.cfm>).

To access the user options, click on **Options** in the menu bar, and then click on **User Options**. Make sure there is a check mark in the white field next to the option you want to use; if there is no check mark, click on the field.

To set the options just for your current session, click on . The options screen will close, returning you to your original window.

To set the options until you change them again, click on . After you've set your options, click the  button to close the options screen.

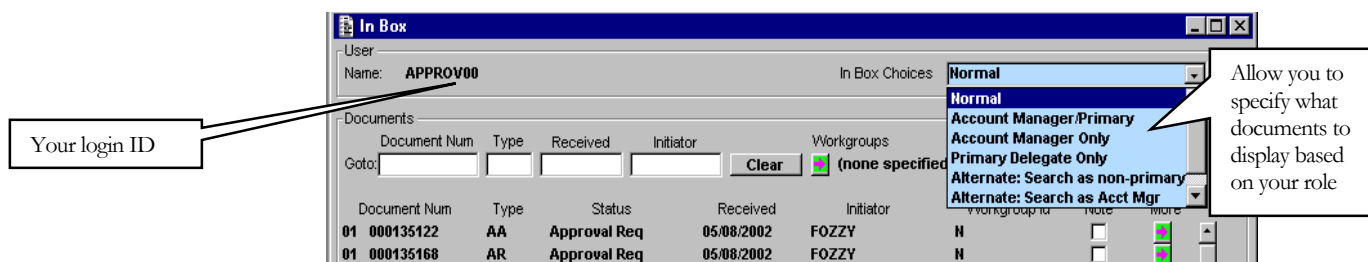
To stop any of the user options, reopen the **User Profile Options**, and uncheck the functions you no longer want to use. Set the change in options as indicated above.

For information on the remaining user options, see the DaFIS Desktop Structure section of the FIS 101 manual: <http://dafis.ucdavis.edu/training/trngdocs.cfm>.

THE IN BOX

All approval activity is performed through the approver's In Box. The In Box is accessed using the **Check Your In Box** button on the welcome screen (unless you have set the option discussed in the previous section). If this button is red, you have documents in your In Box.

The In Box has buttons and input fields to help you access and process documents. The header section contains the **User Name** and **In Box Choices**.



Clicking on the dropdown arrow next to **In Box Choices** gives you the following options for filtering documents in your In Box:

If you choose an *Alternate* In Box choice, you will need to select a *non-Alternate* choice in order to exit the In Box.

- **Normal** - This is the default selection. It displays all documents in your In Box, whether routed for your approval or saved by you.
- **Account Manager/Primary** – Retrieves only the documents with accounts for which you are the account manager or primary delegate
- **Account Manager Only** – Returns only documents with accounts for which you are the account manager
- **Primary Delegate** – Shows only documents containing accounts for which you are the primary delegate
- **Non-Workgroup** – Lists only documents not part of a workgroup, including documents you have saved

The remaining choices allow you to locate documents in other In Boxes:

- **Alternate: Search as Non-Primary** – Lists the users for whom you are a non-primary delegate, provided there are documents pending that user's approval. Once a user is chosen, you will see a list of documents routed to them that you are authorized to approve.
- **Alternate: Search as Account Manager** – Lists the primary delegates for whom you are the account manager, provided there are documents pending the delegate's approval. Once a user is chosen, you will see a list of documents routed to them that you are authorized to approve.

The **Document** section contains search fields, the list of documents, and action buttons:

The screenshot shows the 'Documents' section of the DAFIS Approvers interface. It includes a 'Goto' search bar with fields for Document Num, Type, Received, Initiator, and Workgroups. Below is a table of documents with columns for Document Num, Type, Status, Received, Initiator, Workgroup Id, Note, and More. At the bottom are action buttons: Open Document, Routing, Document Search, Document Selection, Refresh, AP In Box, and Close. Callouts provide detailed explanations for these elements.

Document Num	Type	Status	Received	Initiator	Workgroup Id	Note	More
01 000135122	AA	Approval Req	05/08/2002	FOZZY	N		
01 000135168	AR	Approval Req	05/08/2002	FOZZY	N		
01 000135273	DC	Approval Req	05/08/2002	FOZZY	N		
01 000135291	DC	Approval Req	05/08/2002	FOZZY	N		
01 000135479	DC	Approval Req	05/08/2002	FOZZY	N		
01 000135482	DC	Approval Req	05/08/2002	FOZZY	N		
01 000135764	DPO	Approval Req	05/09/2002	FOZZY	N		
01 000135782	DPO	Approval Req	05/09/2002	FOZZY	N		
01 000135536	DRO	Approval Req	05/09/2002	FOZZY	N		
01 000135222	EEV	Approval Req	05/08/2002	FOZZY	N		
01 000135485	PR	Approval Req	05/08/2002	FOZZY	N		
01 000135489	PR	Approval Req	05/08/2002	FOZZY	N		

Search fields: Goto: [Document Num] [Type] [Received] [Initiator] [Clear] [Workgroups (none specified)]

Documents: List of documents with columns: Document Num, Type, Status, Received, Initiator, Workgroup Id, Note, More.

Action buttons: Open Document, Routing, Document Search, Document Selection, Refresh, AP In Box, Close.

Callouts:

- Search fields: Points to the Goto search bar.
- Documents: Points to the document list table.
- Action buttons: Points to the bottom toolbar.
- Displays a document's routing log: Points to the 'Routing' button.
- Takes you to the Search screen where you can search for DaFIS documents: Points to the 'Document Search' button.
- Leads to the screen that allows you to choose what type of blank document you want to open (e.g., Accounts Payable): Points to the 'Document Selection' button.
- Reloads the documents in the In Box, including any new documents received since the last reload: Points to the 'Refresh' button.
- Accessed only by staff in the Accounts Payable department: Points to the 'AP In Box' button.

The **Goto** fields are used to locate documents within your In Box. Just like a search screen, you can enter information to help locate the desired document. Once you have entered information in one or more of the fields provided, press **Tab** to activate the search. This will reduce the list to only those documents that meet the criteria. If no documents match the search criteria, no documents will be displayed. (You can restore your in box list at any time by clearing the input fields and clicking Refresh.)

Double-clicking on the Initiator's ID leads to a detail screen with additional information about that user.

You can search for documents that were routed to one or more workgroups by clicking on the under the **Workgroups** column. This will display the workgroups to which you belong. Selecting one or more of those workgroups enables you to retrieve just those documents that routed to you as part of the workgroup(s).

The three columns on the right of the list of section provide additional information:

- If a document was routed to a workgroup of which you are part, there will be a Y in the **Workgroup** column.
- The **Note** indicator is marked if a note has been attached to the document.
- Clicking on the button in the **More** column provides summary information about the document selected.

The action buttons at the bottom of your screen provide functions found elsewhere in TP (e.g., Document Search and Document Selection) without having to leave your In Box.

VIEWING THE DOCUMENT

Familiarity with DaFIS documents is crucial to performing the duties of an approver. Some features are common to all DaFIS documents while others are specific to certain document types.

The components basic to all documents can be seen in the **Distribution of Expense (DE)** illustrated below.

The screenshot shows the 'Distribution of Expense' window. It includes a header with document details, a central area for description and explanation, and two tables for 'From / Credit' and 'To / Debit' entries. A right-hand panel contains buttons for 'Routing', 'Notes', 'Balance', 'Entries', 'OK', and 'Quit'. Callout boxes provide the following information:

- Document Num:** 01 -000135861 (A unique number that forever stays with the document)
- Initiator:** APPROV00
- Created:** 06/04/2002
- Status:** ? (Indicates where the document is in the routing process; this document hasn't been routed)
- Amount:** 0.00
- Description:** [Empty field]
- Explanation:** [Empty field]
- Org./Departmental Information Tracking Num:** [Empty field] (Department assigned identifier; appears on general ledger reports)
- Buttons:** Routing, Notes, Balance, Entries, OK, Quit (Closes and accepts the document, and triggers the system checks and routing)
- Tables:** From / Credit and To / Debit tables with columns for COA, Account/Sub, Object/Sub, Project, Prior Doc Num, Reference, and Amount. Total: 0.00. (Input fields – used to record the accounting elements used in the transaction)
- Table Actions:** Insert Line, Delete Line, Copy Line
- Quit Button:** Exits the document without routing it; you have the option to save your changes

Information shown in gray fields is provided by the system, for example: the document number, initiator ID, created date, and status fields.

Information in a white field is entered by a user. Double-clicking on entries in these fields provides additional detail.

By clicking on a button, you can get to additional information screens (e.g., **Notes**, **Balance**) or start an action (e.g., **OK**, **Quit**).

Some buttons and fields are specific to certain documents; for full explanations of each button or field on a specific document, see the online reference manual: <http://dafis.ucdavis.edu/help/olrm/>.

WORKFLOW MENU

The Workflow menu selection provides you with all of the options available for acting on a document. Once you have reviewed the document, you should choose one of the following actions:

The Workflow menu can be accessed only when you are in a document.

- **Approve** – An alternative to clicking the **OK** button to approve a document
- **Disapprove** - This option allows you to disapprove a document if you deem it necessary. Documents should be disapproved if they are inappropriate, unnecessary, missing information or contain inaccurate information. When you disapprove a document, the system requires a note explaining why you are disapproving the transaction.

A disapproved document routes back to the initiator, and usually everyone who has previously approved it. A disapproved document cannot be modified, but it can be templated (i.e., copied). When you disapprove a document, make sure your note is clear so the document initiator knows what changes to make if the document is to be recreated.

- **Forward** – This feature allows you to send the document to another person for review *only* (not for approval) while retaining the document reference in your In Box. You can use this feature as an alternative to calling or sending e-mail to request more information. For example, suppose a line item just has “Miscellaneous” as the description. Before approving the transaction, you’d want to know what that expense included. You can forward the document with a message asking for clarification.
- **Defer** – This feature updates the routing log to reflect that you have reviewed a document but have not approved or disapproved it. Anyone tracking the status of the document will be aware that you have seen it. The document status in your In Box will change to **Approval Deferred**, and the **Received Date** will change to the date you deferred the document. Deferring a document will move it further down the list of documents in your In Box.

If you do not defer a document prior to closing it, the routing log will appear as if you have never seen the document. In addition, the document status in your In Box will continue to be **Approval Required**, giving you no indication that you have viewed the document.

For step-by-step instructions on using the forward and defer features, please see <http://dafis.ucdavis.edu/help/1min/forward.cfm>.

ROUTING LOGS

Every DaFIS document has a routing log, which displays the history of reviews and action taken for that document. Click on **Routing** to view the log for an open document, or for one selected from a list of documents (In Box or search screens).

While a document is in routing, the routing log shows who has reviewed the document up to and including the current pending approval, as illustrated below:

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

Notification		Action		Status	WkGrp
Person	Date	Person	Date		
LJSTOCKB	10/01/2002	LJSTOCKB	10/01/2002	Approved	<input type="checkbox"/>
WHM	10/01/2002	TDWRIGHT	10/02/2002	No Actn Req'd	<input type="checkbox"/>
DRTHOMAS	10/02/2002			Approval Req	<input checked="" type="checkbox"/>
NEYOUNG	10/02/2002			Approval Req	<input checked="" type="checkbox"/>
BJRIDDLE	10/02/2002			Approval Req	<input checked="" type="checkbox"/>
TOPETE	10/02/2002			Approval Req	<input checked="" type="checkbox"/>
EAARCE	10/02/2002			Approval Req	<input checked="" type="checkbox"/>
ACARCH	10/02/2002			Approval Req	<input checked="" type="checkbox"/>
NEVANTAS	10/02/2002			Approval Req	<input checked="" type="checkbox"/>
SJALBREC	10/02/2002			Approval Req	<input checked="" type="checkbox"/>

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

Notification		Action		Status	WkGrp
Person	Date	Person	Date		
LJSTOCKB	10/01/2002	LJSTOCKB	10/01/2002	Approved	<input type="checkbox"/>
WHM	10/01/2002	TDWRIGHT	10/02/2002	No Actn Req'd	<input type="checkbox"/>
DRTHOMAS	10/02/2002	EAARCE	10/09/2002	No Actn Req'd	<input checked="" type="checkbox"/>
NEYOUNG	10/02/2002	EAARCE	10/09/2002	No Actn Req'd	<input checked="" type="checkbox"/>
BJRIDDLE	10/02/2002	EAARCE	10/09/2002	No Actn Req'd	<input checked="" type="checkbox"/>
TOPETE	10/02/2002	EAARCE	10/09/2002	No Actn Req'd	<input checked="" type="checkbox"/>
	10/02/2002	EAARCE	10/09/2002	Approved	<input checked="" type="checkbox"/>
ACARCH	10/02/2002	EAARCE	10/09/2002	No Actn Req'd	<input checked="" type="checkbox"/>
NEVANTAS	10/02/2002	EAARCE	10/09/2002	No Actn Req'd	<input checked="" type="checkbox"/>

Look Ahead Routing

While the Routing log shows you the current and past routing of a specific document, the **Document Approval Routing** screen shows you the future routing of the document.

Look Ahead

You access the **Document Approval Routing** screen by clicking **Look Ahead** on the **Document Routing Log** screen. You can now view the future routing for this document:

The screenshot shows the 'Document Approval Routing' window for document 01 (ID 000027998, Status P, Pend Acct). The 'Users Already Notified' column lists DICKSON, LIASCOTT, and ROCKET. The 'Review Hierarchy' column lists ANN and BUCKNER. The 'Special Conditions' column lists ORCHID and RANDIE. The 'Chart Manager' is 'Not Active'. A 'List Workgroups' button is present. A legend at the bottom identifies colors: In Inbox (green), Pending (cyan), Nonprimary (magenta), Wg = Workgroup, and WU = Workgroup User.

Callouts include: 'The document initiator's user ID' pointing to the document ID; 'Click here to view Workgroups by name instead of by users.' pointing to the 'List Workgroups' button; 'The users who currently have the ability to approve the document; in this case, the account manager LIASCOTT, and the non-primary delegate ROCKET.' pointing to LIASCOTT and ROCKET; 'Individuals listed in a Review Hierarchy' pointing to ANN and BUCKNER; 'Indicates that the users listed in the Review Hierarchy column are not part of a workgroup' pointing to ANN and BUCKNER; 'Members of the Workgroup WU will receive the document in Special Conditions routing' pointing to ORCHID and RANDIE; and 'There is no Chart Manager routing for this document.' pointing to 'Not Active'.

When everyone in the **Users Already Notified** column approves the document, the screen will change to the following:

The screenshot shows the 'Document Approval Routing' window after initial approvals. The 'Users Already Notified' column now includes ANN and BUCKNER. The 'Review Hierarchy' column is 'Already Notified'. The 'Special Conditions' column lists ORCHID and RANDIE. The 'Chart Manager' is 'Not Active'. A legend at the bottom identifies colors: In Inbox (green), Pending (cyan), Nonprimary (magenta), Wg = Workgroup, and WU = Workgroup User.

Callouts include: 'The users previously listed in the Review Hierarchy column now appear in the Users Already Notified column. Once ANN approves the document, it will route to BUCKNER for approval.' pointing to ANN and BUCKNER; and 'Once ANN and BUCKNER approve, the document will route to ORCHID and RANDIE for Special Conditions approval.' pointing to ORCHID and RANDIE.

At each level, the most current users in the approval chain will move from their respective columns to the **User Already Notified** column, until eventually all the names appear in that column.

WHAT TO LOOK FOR


The basic elements to review for all transactions include:

- **Initiator ID** - An approver should always be aware of where the transaction originated. This is the first indicator of the appropriateness of the transaction, since you can see the initiator's ID from your In Box. (You can double-click on the user ID to get the full name of the initiator.)
- **Description, Explanation or Document Note** - These fields should include information pertaining to the purpose of the transaction. The approver should have sufficient description and justification to feel confident in approving the transaction. The way in which these fields are used should be standardized within each organization. When establishing these standards, remember that the **Description** field will print on many Decision Support queries, and that messages can be appended to the notes screen at any time during the life of the document.
- **Account Information** - The **Chart, Account, Sub Account, and Project** fields should reflect correct information, including the appropriateness of the funds being used for the transaction.
- **Amount** – Remember that departmental approval indicates the transaction to be a reasonable and necessary expense.

In addition to the above fields, specific documents have fields that you should carefully review before taking action on those documents.

Purchasing Documents

Purchase order documents establish a contract with an outside vendor, which adds to

the importance of double-checking all information before clicking . The first thing to determine is whether the item being purchased is a necessary expense. Next, the approver must examine the document to make sure the transaction is accurate. The following fields are of particular importance when approving purchasing documents:

Departmental Purchase Order (DPO), Purchase Requisition (PR)

- **Order Type** – Is the order type correct? (E.g., OV, M3, or U3; Blanket or Specific)
- **Agreement** – Is there an agreement for the item being purchased? Using agreements usually results in savings, and may allow for a higher DPO limit amount than if you were to place an order as an open vendor (OV) type.

- **FOB/Carrier** - The FOB code dictates the liability and shipping terms for the item being purchased. Double-clicking on the FOB code will give you more information on the terms selected. For a PR, the buyer will use the terms that were negotiated with the vendor when they process the final PO.
- **Payment Terms** - These terms will determine what discount, if any, will apply to payment of this order. This code can be changed on a **Vendor Invoice (VI)** when making the payment - so it is not critical that it be accurate on smaller orders. For a PR, the buyer will use the terms that were negotiated with the vendor when they process the final PO.
- **Vendor** - For a DPO, verify that the vendor is appropriate. For a PR, make sure the vendor(s) requested are acceptable. The vendor selected by the buyer may differ from the suggested vendor referenced on the PR, unless a legitimate Sole Source justification is filed.
- **Commodity Code** - Confirm that the commodity code used for the item being purchased is appropriate. In the case of a DPO, verify that the item being ordered is allowed (P&PM 350-21). You should also confirm that the item is being taxed/not taxed appropriately.
- **Commodity Description** - While the system will disallow inappropriate commodity codes on a DPO, confirm that the description remains within the acceptable limits (P&PM 350-21). Since the description can be modified from the original, it is a good idea to double-click on the commodity code field and compare that description to the one in this field.
- **Equipment Information** - For purchases of equipment, add-ons to existing equipment, or supplies for fabrications, make sure the related equipment information is accurate. This includes: **Custody Code**, **Property Number** (add-on, fab), **Owner COA/Account**, and **Building**.

Accounts Payable Documents

An approval of an Accounts Payable document indicates that the goods have been received in proper condition, or that services have been rendered in a satisfactory manner. In the case of reimbursements, approval indicates that the expense was incurred and was appropriate.

All AP documents require some backup documentation to be sent to Accounts Payable, as the official office of record. On all AP documents, verify that the document number written on the hard copy of the invoice and any other accompanying attachments matches the document number of the corresponding electronic document.

Vendor Invoice (VI)

The VI is to the payment side of a purchase. Information from the purchase order is brought forward to the VI when the order number is entered. Depending on the type of order (DPO vs. PO) the initiator of the VI has some flexibility in altering the information to make the payment accurate.


The first thing an approver must determine is whether the item has been received in proper condition, or if the services have been rendered satisfactorily. Next, the approver must examine the document to make sure that the transaction is accurate. Be sure to review the hard copy of the invoice sent from the vendor prior to approving the VI document. Aside from the accountability issues involved, prompt payment to the vendor is contingent upon the accuracy of the VI document.

Note: An approver should not modify any of the fields on a VI, so unless missing information can be addressed sufficiently in a note, you should disapprove the document. If any of the fields are incorrect, disapprove the document.

The following fields are of particular importance when approving a VI:

- **Purchase Order Number** - if you are unfamiliar with the purchase, you can double-click on the **Purchase Order** field to get information about the original order.
- **Pay In Full indicator** - this is particularly important to departmental approvers. This is the only way that the liens from the purchase order will be fully reversed. If you are not in a position to know whether this is the last invoice for this purchase, it is recommended that you establish a standard protocol whereby the initiator can let you know. The explanation, or a document note, can be used for this purpose.

If you approve a document that incorrectly had the **Pay in Full** indicator marked **Yes**, contact the next person in the routing and request that they disapprove the document. Otherwise, once the document is approved, it will close the DPO; any subsequent payments made against that DPO would record credit liens against the account(s).

- **What type of tax did the vendor bill on this invoice?** - This field affects the way district and state taxes are calculated. It also determines whether the tax will be paid to the vendor or the state. Since this affects the total payment amount, it is very important that the selection is correct.
- **PO Balance vs. Total Items Amount** – The **PO Balance** field shows you the balance remaining after all previous payments. If the current **Total Items Amount** exceeds the **PO Balance** (and it can if the order was a DPO) you should be aware of the reason before approving the current payment.
- **Remit to Vendor Number** – The corresponding vendor name should be the same as the name on the hardcopy invoice.
- **Remit To** – This code corresponds to the address to which the payment will be sent. Check the invoice carefully to make sure the correct address is cited in the VI.
- **Goods Received Date** – Make sure the correct date appears in this field. Discount terms are driven by the **Goods Received Date** or by the **Invoice Received Date**, whichever is later.
- **Invoice Terms** – This field is carried over from the original order, but can be modified to reflect the terms on the invoice. Even if the date for the discount has passed, it is still important to enter the discount terms as they appear on the invoice.
- **Payment Purpose** – Indicates the reason for the payment. The first 40 characters in this field print on the check, making it very useful for including vital information, such as a confirmation number.
- **Item Information** screen - Confirm that the items indicated for payment are the items that were received. **Quantity**, **Tax Amount** and **Item Payment Amount** should match the vendor's invoice.
- **Accounting Distribution** screen - There are two screens with this name. The one accessed by the arrow button (at the end of an item line) will show the account distribution for the specific item. The screen accessed by clicking  on the **Item Information** screen will give you the distribution for the entire order. This distribution will show you each account used on each item.

When attempting to approve a VI, you may get the following warning message:

You are processing a payment against a closed DPO. Do you wish to continue?

Make sure you know why a payment is being made against a closed DPO before you approve the document.

Direct Charge (DC)

The DC is a request for non-procurement payments that are also not related to travel or entertainment. Even with those exclusions, the uses for the DC are numerous. Because of this breadth, the review and approval of a DC document will vary by unit and type of payment.

Since the DC has such flexibility, it is important that the explanation and document notes fields are used to full advantage. At times there may be little or no back-up documentation for you to review, making it vital that the document initiator provide you with sufficient information to confirm that the payment is appropriate.

Check the documentation carefully to make sure the correct remit address is cited on the DC. For example, registration for conferences may cite the organizer's name but ask you to send the payment to a different name/address.

When reviewing the Direct Charge document, pay particular attention to the following fields:

- **Employee/Remit-To Employee** indicators - Is this payment appropriate to be made to an employee? One notable case: all payments to a petty cash trustee should be made to that person as a non-employee vendor.
- **Vendor Number/Remit to Vendor Number** - Is the payment being made, and sent, to the appropriate person, at the correct address?
- **Attachment** – If this field is checked to **Yes**, then is there a note that indicates what the attachments are? Are all of the attachments included with the backup documents?
- **Payment Date** - Is the payment being made in a timely fashion? If discount terms were entered on the document, then the payment date may be affected.
- **Payment Purpose Text** – Can be used to indicate a membership number or, in the case of reimbursements, you can list that for which the person is being reimbursed. Remember, only the first 40 characters of this field will print on the check.
- **Direct Charge Items** – Is the account information correct *and* appropriate? Remember that we are not allowed to use federal funds to pay for memberships. Keep in mind that contract and grant funds often have restrictions.
- **Object Code** – Make sure that the code used accurately reflects the purpose for which this payment is being requested. In the case of reimbursements, the object should reflect the item/service for which the reimbursement is being made.

For memberships, be sure the necessary approvals are in place. The type of membership determines what level of approval is needed. For example, memberships to organizations of professional schools require Dean or Vice Chancellor signature, unless that approval authority has been delegated (i.e., to the department head). Check to see that the appropriate authority has signed the hard copy of the document. If not, be sure to either ad hoc route the document electronically as Approval Required, or send the hard copy to him/her for signature. If you are sending the hard copy for signature, indicate that in the **Notes** section. For more information on who needs to approve various types of memberships, see PPM 330-75: <http://manuals.ucdavis.edu/ppm/330/330-75.html>.

Travel Expense Voucher (TEV)

Approval of a travel expense voucher indicates that the travel expenses do not exceed limits set in policy, that the travel was approved in advance and that it was for official university business. For detailed information on travel policies, see PPM 300-10: <http://manuals.ucdavis.edu/ppm/contents.htm#300>.

The TEV must have a corresponding paper travel expense form. The paper form provides all of the detail about the travel, including a breakdown of expenses. It also provides the signatures currently required by policy, including the traveler and an authorizing signature. Your approval of the TEV is mainly acknowledging that the amount requested is appropriate.

Review of the travel expense form should precede approval of the TEV. If the paper voucher is acceptable, then review of the TEV is basic. Confirm that the amount on the TEV matches the amount due on the paper voucher and that the correct accounting information is used. In addition, confirm that the check is being made out and sent to the appropriate person.

Entertainment Expense Voucher (EEV)

As with the TEV, the EEV has a paper form that must accompany the request for payment. The paper form should provide a detailed breakdown of the service and/or expenses obtained. This form should be reviewed prior to approval of the EEV. Once the paper voucher is reviewed, the review of the EEV should be straightforward.

On the DaFIS EEV, confirm that the amount requested matches the expenses outlined in the paper voucher. In addition, confirm that the payment is being made and sent to the appropriate vendor. Pay particular attention to the object code. Social entertainment object codes (7750/7751) are prohibited on certain fund sources. As a way to avoid this policy, some initiators use the Business Meeting object (7760). Remember that as an approver, you are certifying that the type of expense recorded is correct and appropriate. (See PPM 330-80 for more information on entertainment and fund sources: <http://manuals.ucdavis.edu/ppm/330/330-80.htm>.)

Financial Documents

Cost Transfers - Distribution of Expense (DI), Error Correction (EC), Restricted Error Correction (REC)

When dealing with extramural funds, sufficient information must be provided on the transfer document to determine whether an expenditure adjustment is justified and appropriate in compliance with policies and procedures. It is extremely important that expenses are recorded initially in the proper funding source to prevent the necessity of a cost transfer; however, if an error does occur, taking corrective action so that the error does not occur again is imperative.

Pay close attention to the following:

- **Prior Document Number** – Is the prior document number associated with the original charge in the **Prior Doc Number** field? This information is necessary for a proper audit trail.
- **Justification** – When extramural funds are involved, this button should be red. When you click on it, there should be complete answers to the questions asked in that screen:

Examples of insufficient explanations include: “to correct an error”, “to transfer to correct project” or “because the expenditure was inadvertently charged to an incorrect account”

Following are two examples of cost transfers with sample responses to the above questions that would be considered sufficient in detail for an appropriate review of the transaction by the approver. Additional scenarios are available in the Fall 2001 issue of the DaFIS Notes newsletter (<http://dafis.ucdavis.edu/notes/fall01>). Please note that these hypothetical scenarios and responses are provided for illustrative purposes only.

Example Scenario 1: Wrong billing ID provided to service unit

Question 1: A technician in the lab cited a wrong billing ID on the order. These items were budgeted for and benefit the project account that is being charged on this transfer.

Question 2: The transfer is past 90 days as the PI was unable to review the ledgers sooner. When the PI discovered the error, he informed department accounting personnel of the correct account.

Question 3: A list of billing IDs and associated accounts has been given to the sponsored project personnel to prevent a recurrence. Timely ledger reviews will be conducted in the future.

Example Scenario 2: Overdraft on Extramural fund

Question 1: The expense benefits the sponsored project; however, it exceeds the approved budget for this expense category.

Question 2: The transfer is past 90 days as the PI and department accounting personnel have been trying to determine a suitable funding source from which to transfer the overdraft.

Question 3: Department staff will review/reconcile ledgers in a timely manner and adhere to budget allocations. When an overdraft does occur, the department will transfer the cost overruns as soon as the expense appears on the ledgers.

CAMS Documents

Transactions involving assets over \$10,000 need approvals from the department head and the Dean/Vice Chancellor (UCDHS users need to secure approvals from the appropriate hospital administrators). To obtain the approvals, ad hoc route the document as **Approval Required** to the Dean/Vice Chancellor's office, or print the document and send it to the Dean's/Vice Chancellor's office for signature. If the Dean/Vice Chancellor delegates approval authority, a one-time, written notification needs to be provided to Equipment Management for their files.

Add Asset/Multiple Add Asset

- **Acquisition Type**
 - 30, 31, or 33** – Disapprove the document since these transactions should only be added by the Equipment Management department.
 - 34** - Do you have the corresponding gift form, to be submitted to Advancement Services? Make sure the CAMS document number appears in the upper right hand corner of the completed form.
 - 38** - Do you have the corresponding Equipment Loan Agreement form, to be submitted to the Risk Management Services department?
- **Received Date** – Is there a date in this field? If no date is included, the asset won't appear on some Decision Support equipment reports.
- **Acquisition Source** – Does this clearly indicate where the item came from (e.g., Hewlett Packard; UC Irvine)?
- **Description** – Does this field sufficiently explain what this item is? It should be more than just the commodity code's default description.
- **Non-University Owner** – If the Acquisition Type is 38 or 39, this field should be checked to **Yes**.
- **Payment Lines** (at the bottom of the document) – Should be left blank
- **Notes** – For loan agreements, is the loan period and loaning organization's contact information stated? For transactions where the hard copy was sent to the Dean/VC for approval, is that indicated?

Asset Retirement

- Retirement Reason

22, 25 – Do you have the corresponding Property Loss form, to be submitted to the Risk Management Services department? Please make sure the CAMS document number appears in the upper right hand corner of the completed form. If the form is for a stolen item, the Police Case Number field should be completed.

23 – Does the notes section explain why and how the asset is to be salvaged? Does the note also indicate that the Bargain Barn was contacted and that they do not have a market for the asset?

28 - Has agency approval been given?

29 - Has prior approval been granted from the Director of Materiel Management, and your department Head and Dean/Vice Chancellor?

Asset Transfer

- **Asset Value** – If the asset is over \$10,000, and it is transferring outside of your school or college/division, then the approval of the existing Dean or Vice Chancellor (or designee) is required.

Equipment Loan/Return

- **Borrower** – Is it appropriate for the borrower to use the item? (i.e. what is this person's affiliation to the department?)
- **Expected Return** – For computers/computer-related items, the return date should be no more than 3 years from the start of the loan. For all others, the return date should be no more than 5 years.

Fabrication Request

- **Description** – Does the description specify what is being built?
- **Asset Value** – The amount should be at least \$1,500 to be considered a fabrication.

Making Modifications Prior to Approval

Most transactions cannot be modified during routing. However, account managers can make limited modifications during the routing process to the following document types: **Departmental Purchase Order, Purchase Requisition, Direct Charge, Entertainment Expense Voucher, Travel Expense Voucher, and Vendor Invoice.**

In addition to the documents cited above, the account manager can modify account information on any of the Financial Documents in the GL/COA group, provided there is Account Manager routing for those documents, and provided you are the account manager or delegate for *all* accounts cited on the document.

DECISION SUPPORT QUERIES

Here are some Decision Support (DS) queries that you should find useful:

DaFIS User Responsibilities (214) – This report will identify what your approval role is in the DaFIS system.

Document Approval Workload (211) – Run this query to get a list of all the documents you have approved during a specified date range.

Document Workload (40) – Use this query to get a list of documents initiated by a user during a specified date range.

Purchase Order Payment History (232) – This query will show all the payments made for a specific purchase order.

Purchasing System Documents Log (27) – Use this to look up orders on an agreement, orders to a specific vendor, POs for PRs, and orders for an organization or account.

Summary of Consolidation Balances (44) – This query can be used to verify there is enough money before approving an expenditure.

APPENDIX - WEB RESOURCES FOR APPROVERS

Below are some web resources you may find helpful:

- For policy and procedure specific to approvers, view sections 300 and 330, at <http://www.mrak.ucdavis.edu/web-mans/ppm/welcome.htm>.
- If you're looking for information regarding Accounting and Financial Services, visit the website at <http://accounting.ucdavis.edu/>. Note: From this website, you can access the additional resources on this list, including the Entertainment Guide, and the Travel@UCDavis and Materiel Management websites.
- If you'd like additional information on **travel**, consult the Travel@ucdavis site at <http://travel.ucdavis.edu/>.
- For information on **entertainment**, view the Entertainment Guide at <http://accounting.ucdavis.edu/EntertainGuide/index.cfm>.
- To view information pertaining to purchasing, visit Materiel Management's website at <http://ucdmm.ucdavis.edu/>.
- For policies specific to equipment, see the Capital Asset Accounting website at <http://accounting.ucdavis.edu/CA/>.
- If you have a question on a **document field**, or whether or not the **correct document is being used**, check out 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.
- For a detailed explanation of routing, see <http://dafis.ucdavis.edu/help/whatisit/routing.cfm>.
- For a refresher on approving Direct Charge, Vendor Invoice or Purchasing documents, or for information on forwarding and deferring documents or how to ad hoc route, view our One-Minute Manuals at <http://dafis.ucdavis.edu/help/1min/>.
- For general DaFIS information including frequently asked questions and DaFIS Tips and Top 5 lists, check out the DaFIS website at <http://dafis.ucdavis.edu>. If you don't find your answer there, click on the **Help Request Form** link at the bottom of every page, or go to <http://dafis.ucdavis.edu/gethelp.cfm>.
- For accounting term definitions, view the Accounting glossary at <http://accounting.ucdavis.edu/refs/glossary.cfm> or, for DaFIS specific terms, the DaFIS glossary at <http://dafis.ucdavis.edu/help/whatisit/glossary.cfm>.
- To **practice exercises** from DaFIS Approvers or other DaFIS classes, go to <http://dafis.ucdavis.edu/exercises/index.html>.

