Title	Approval Authority for Financial Transactions – Internal Procedures
Owner	Office of the Executive Vice President for Finance and Chief Financial Officer, UConn
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Contact	Controller's Office
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These procedures explain how to implement and enforce UConn's policy entitled "Approval Authority for Financial Transactions". The procedures provide specific instructions for granting, changing, and terminating approving authority within each of the following financial systems used to process financial transactions at UConn.

I. Kuali Financial System ("KFS") – Financial Enterprise Resource System
II. SAP Concur ("Concur") – Travel and Expense Management System
III. HuskyBuy – (Jaggaer – E-Procurement)
IV. PeopleSoft Student (Student Administration) – Admissions, student financials, financial aid, and student records
V. Payroll & Time-keeping Systems
   i. Core-CT
   ii. UKG-Dining Services
   iii. HuskyTime – Student Payroll
   iv. Public Safety Payroll ("PSP")

I. Kuali Financial System

A. Requesting Initial Access and Granting Approval Authority

i. To gain initial access to KFS, an individual, or someone on their behalf, must complete the Kuali Build ("KB") form entitled "*Enterprise Financials Systems Access Request Form*"*.* The submitter should select KFS or KFS & KFDM under system access and provide a business justification for their access request. Any requests for specialized roles must be explained as part of the business justification. Employee access will not expire until the user leaves their current employment, or the department requests a change. Students and Affiliates will only receive access for a maximum of 1 year with the option to renew. Once this form is submitted and approved by the Department Head or their Authorized Delegate, the access request will be reviewed by the Enterprise Financials Team in ITS. ITS may request further information from the user's department, central offices and/or Human Resources to ascertain the appropriateness or necessity of the requested access.

ii. After their review, ITS will assign the appropriate roles to the user and approve the KB form which completes the process of granting initial access. The KFS role assignments determine what permissions the person has, what specific tasks they can perform, and their involvement in transactional workflows.

iii. Approval Authority in KFS is granted to individuals assigned the role of Fiscal Officer, Account Supervisor, or other named roles with workflow responsibilities. Fiscal Officers and Account Supervisors are assigned on a per account basis using the "**Account**" or "**Account Global**" eDocs. Named roles are assigned by ITS via an approved "*Enterprise Financials Systems Access Request Form*". It is the department's responsibility to ensure that Authorized Approvers have been designated and approved by their Department Heads or equivalents.

iv. Department Head designations within KFS are assigned to a person within CORE-CT (The State of Connecticut HRMS). CORE-CT communicates changes or updates to organizational structures within KFS via a nightly feed. The Human Resource Department is responsible for entering and confirming that Department Head designations are current and accurate within CORE-CT. A Department Head "equivalent" means the Dean, Associate & Assistant Dean, Director, Vice President, Associate & Assistant VP of the respective department.

v. Transactions submitted in KFS are reviewed and approved based on predetermined workflows that are encoded within the KFS software. The workflow is determined based on various transactional indicators such as document type, account number, object code, and dollar value.

vi. Delegation: Authorized Approvers may designate a person as their Authorized Delegate to approve transactions on their behalf. This is done by completing the "**Account Delegate**" or "**Account Delegate Global**" eDocs. The "Account Delegate Global" eDoc allows several accounts to be delegated to a user with a single request. The "Account Delegate" eDoc requests delegation permission for just one KFS account. The "Account Delegate Global" eDoc is approved by the Accounting Office and the Fiscal Officer on the account, whereas the "Account Delegate" eDoc is only approved by the Fiscal Officer on the account. Having an authorized delegate does not relieve the Authorized Approver of their oversight responsibilities. It is the department's responsibility to ensure that Authorized Delegates have been approved by their Department Heads or equivalents.

B. Changing or Terminating Access or Approval Authority

i. Authorized Approvers are responsible for ensuring that only authorized users are reviewing and approving transactions to the accounts that they are entrusted and assigned to monitor. It is the responsibility of the Department to notify ITS and Human Resources when there is a termination at the University. This notification allows ITS to take prompt action in terminating the employees' roles and permissions within KFS.

ii. The best and most efficient way to terminate an employee's KFS access is to email techsupport@uconn.edu with the employee's name, Net ID, date of termination, and the business justification for access termination.

iii. If an employee is continuing employment at the University but will be working for a different department causing a change in the scope of the transactions they will need to approve within KFS, the employee's Department Head or equivalent must notify the IT department or KFS system administrator, in writing (via email: techsupport@uconn.edu or via the *Enterprise Financials Systems Access Request Form"*), that the employee's approval authority within KFS needs to be modified.

iv. If an employee is identified as an Authorized Approver or Authorized Delegate, they or their department should initiate changes to their KFS accounts using the "**Account**", "**Account Delegate**", "**Account Delegate Global**", or "**Account Delegate Inactivation Global**" eDocs prior to the employee's departure. For bulk changes to Authorized Approvers on accounts, departments should submit the "Kuali Financials Account Global Request" in Kuali Build.

v. Approval authority can be revoked by the Department Head, Senior Management, Human Resources, Information Technology Services, or the University Controller at any time and must be no later than the employee's last day in their current position.

II. SAP Concur

A. Requesting Initial Access and Granting Approval Authority:

i. General Access: All University Employees and Students can login to Concur via their Net ID and password without the need to request access.

ii. Approval Authority: The ability to approve transactions in Concur is primarily dependent on an individual's professional designation in CORE-CT and their role assignments on KFS Accounts.

Approvers: The following individuals are granted approval authority within Concur without needing a separate, formal access request:

- Listed Account Supervisors in KFS
- Listed Fiscal Officers in KFS
- Listed Supervisors in CORE-CT
- Department Heads in KFS/CORE-CT

Users who require approval authority in Concur but who do not fit into one of the above categories must complete the Kuali Build form entitled "*Enterprise Financials Systems Access Request Form*". On the form, select "Other Financial Application Access". In the Reason box, indicate that you are seeking access to Concur and provide a business justification for the request. Once submitted, the form will route to the individual's Department Head for approval and then to ITS for review. Once access is deemed to be appropriate and necessary, ITS will grant the approval role to the user.

iii. Multiple Roles/Positions: If an individual holds multiple positions at the University, the permissions granted to the individual as a permanent staff employee take precedence over permissions granted to the individual as a temporary employee.

Delegation: Authorized Approvers in Concur are allowed to delegate their transactional approval responsibility to another Concur Approver if the employee will be out of the office for ten (10) or more consecutive business days and are not expected to perform or monitor University operations during that time. Approval authority cannot be delegated to a subordinate who holds a lower position at the University in relation to the Authorized Approver. Users may complete the "Concur: Account Delegate Exception Form" in Kuali Build to request a temporary delegation of approval. This form will route to the Department Head and Accounts Payable for review.

iv. Grant Accounts: The Account Supervisor, typically the Principal Investigator, of a grant account must approve any transactions that draw from their grant account.

B. Changing or Terminating Access or Approval Authority:

i. The ability to approve transactions in Concur is primarily dependent on an individual's professional designation in CORE-CT and their assignment on KFS Accounts and Departments. Therefore, departments should follow the steps outlined on how to terminate or change access in KFS to remove/ change access in Concur. Access driven by a user's CORE-CT designation will terminate or change automatically based on a change to their status in CORE-CT.

ii. If the user was granted unique access to Concur that was not contingent on their role assignment in KFS or professional designation in CORE-CT, the department should email techsupport@uconn.edu to terminate access or complete the *Enterprise Financials Systems Access Request Form* for changes in scope to access.

iii. Approval authority can be revoked by the Department Head, Senior Management, Human Resources, Information Technology Services, or the University Controller at any time and must be no later than the employee's last day in their current position.

III. HuskyBuy (Jaggaer e-Procurement)

A. Requesting Initial Access and Granting Approval Authority:

i. The primary roles in HuskyBuy are "shopper", "requester" and "approver". A user may only have one HuskyBuy role assignment at any given time.

ii. General Access: Employees who already have access to KFS will automatically have general access to HuskyBuy as a "basic shopper". If an employee has not already been granted access to KFS but requires access to HuskyBuy, the department must complete the Enterprise Financials Systems Access Request Form in Kuali Build "KB". The submitter will select HuskyBuy under "system access" and provide a business justification for the requested access. Once submitted, the form is routed to the Department Head for approval and subsequently reviewed and approved by the HuskyBuy Team within Procurement Services. Once approved, the employee's HuskyBuy role designation is added to their list of role assignments tracked within their KFS profile.

iii. Approval Authority: The ability to approve transactions in HuskyBuy is primarily dependent on a user's role assignments on KFS accounts or named roles within KFS.

If an employee was assigned any of the following roles in KFS, they will be assigned the "approver" role in HuskyBuy without requiring any additional authorization:

- Account Supervisors in KFS
- Fiscal Officers and Fiscal Officer Delegates in KFS
- Department Heads in KFS/CORE-CT
- Contract and Grant Processors in KFS

iv. Delegation: Fiscal Officer Delegates from KFS are automatically imported into HuskyBuy for the same financial accounts. The delegation can be restricted based on document type. HuskyBuy also has the capability for Authorized Approvers to configure an Authorized Delegate using the "Assign A Substitute Approver" function which is meant to be used during out of office periods. Substitute approvers, with approval from their Department Head, can be assigned by transaction type or workflow node but must also hold the role of "approver" themselves.

B. Changing or Termination Access or Approval Authority:

i. The steps outlined above on how to terminate or change access or approval authority in KFS should be followed to terminate or change access or approval authority in HuskyBuy.

ii. Approval authority can be revoked by the Department Head, Senior Management, Human Resources, Information Technology Services, or the University Controller at any time and must be no later than the employee's last day in their current position.

IV. **<u>PeopleSoft Student Administration</u>**

A. <u>Requesting Initial Access and Granting Approval Authority:</u>

i. Initial Access Request: To gain initial administrative access to the Student Administration System, an individual, their immediate supervisor, or a delegate must complete the Student Admin Access Form in Kuali Build ("KB"). The requester's information is prepopulated, and if the request is for someone other than the requester, the employee's identifying information must be entered. The supervisor's name must also be indicated.

ii. Specify Access Details: For initial access, the requester should indicate that it is a "New" request and whether the request is for a student worker. The requester will indicate all data sources the user will need access to (Student Records, Student Financials, Graduate Admissions, Undergraduate Admissions, and/or Financial Aid). A legitimate business justification is required for each of the data sources selected.

iii. FERPA Agreement: Before any user is granted access to PeopleSoft, they must read and sign the Family Educational Rights and Privacy Act (FERPA) agreement. If the requester is not the new user needing system access, the FERPA agreement will be routed to the individual for signature before the form enters the approval workflow.

iv. Approval Workflow: Once the Kuali Build form is submitted, it first routes to the supervisor for approval and then to the "Change Control Team" in ITS. ITS may request further information from the employee or their supervisor to ascertain the appropriateness or necessity of the employee's need for access to each of the data sources selected on the access request form. If system access is deemed appropriate and necessary, ITS will ask each Functional Area Administrator who manages and controls access to each of the underlying data sources (Student Records, Student Financials, Graduate Admissions, Undergraduate Admissions, Financial Aid) to review, approve, and provide access to the new user. The Functional Area Administrator may deny the access request if it does not adhere to UConn's IT Security Policies or to maintain the segregation of duties.

Once each Functional Area Administrator approves the new user's access to their data source, ITS will assign the "Administrator" role to the new user within Student Administration and approve the KB form which completes the approval workflow. The Administrator role assignment is customized for each user and determines what permissions the person has, what specific tasks they can perform, and transaction workflow.

B. Changing or Termination Access or Approval Authority:

i. Modifying System Access: To modify an employee's existing access to the Student Administration System, the employee or their supervisor must complete the Student Admin Access Form in Kuali Build. The requester must follow the same procedures outlined above under this section for requesting initial access, except the requester will select "Update" as the request type to request a modification to an existing user's access. The approval workflow for modifying access is the same as the approval workflow for requesting new access.

If an employee is continuing employment at the University but will be working for a different department causing a change in the scope of the transactions they will need to approve within PeopleSoft, the employee's Department Head or equivalent must notify the IT department or Functional Area Administrator, in writing (via email: techsupport@uconn.edu or via the Student Admin Access Form), that the employee's approval authority within PeopleSoft needs to modified.

ii. Terminating Access: Supervisors of employees with "Administrator" access within Student Administration are responsible for ensuring that only authorized users maintain access to the system. It is the responsibility of the supervisor to notify ITS when there is an employment change or termination at the University. This notification allows ITS to take prompt action in terminating or changing the employees' roles and permissions within Student Administration.

The best and most efficient way to communicate an employment termination is for the department to submit another Student Admin Access Form in Kuali Build. The type of access requested should be "Remove/Inactivate". The termination of system access requires business justification for each functional area/data source in which the employee had access. Access to a data source will be terminated once the form workflow routes to the ITS Change Team. The Functional Area Administrator is not required to approve the removal of system access before access can be terminated by ITS.

iii. Approval authority can be revoked by the Department Head, Senior Management, Human Resources, Information Technology Services, or the University Controller at any time and must be no later than the employee's last day in their current position.

V. Payroll and Time-Keeping Systems

CORE-CT:

A. Requesting Initial Access and Granting Approval Authority:
Core-CT is the State of Connecticut's integrated human resources, payroll and financial system, used by several state agencies. Smart HR is the administrative module within Core-CT that is used to add or modify employment data stored within the system. The permissions granted to employees to make

changes to employment data using Smart HR are separate and unique from the permissions granted to approve time sheets in Core-CT.

Access to the Smart HR module within Core-CT is typically designated to a few individuals within a department who are responsible for handling administrative functions. These individuals are granted Smart HR access via a process that includes completing the "UConn HCM Core-CT Security Access Request Form" and emailing it to HCM_Security@uconn.edu. The request form determines what actions can be taken by the employee by indicating what Smart HR templates they can use. The security access request form must be approved by the employee's Dean, Director or Department Head.

Once the department administrator has been granted access to the Smart HR module, they can utilize the "Supervisor ID Change" template to indicate that an employee's supervisor has changed due to an organizational change, employment termination, or another reason. A new non-student employee's supervisor assignment in Core-CT is confirmed by Human Resources as part of the new hire onboarding process.

The ability to approve timesheets within Core-CT is granted to employees designated as "Supervisors" within the system. An employee's supervisor or their "Authorized Delegate" must approve that employee's timesheet within Core-CT. There is no downward delegation for time approval. An employee must be of equal rank or higher than the supervisor to serve as their Authorized Delegate within Core-CT. If a supervisor wishes to delegate their approval authority within Core-CT, they must complete the UConn HCM Core-CT Security Access Request Form and email it to HCM_Security@uconn.edu. The form must be signed and approved by the Department Head and/or Dean.

B. Changing or Termination Access or Approval Authority:

If an employee's supervisor changes, Department Heads or Directors must direct the department's Smart HR administrator to submit a "Supervisor ID Change" template in the Smart HR module. Submitting this template will update the employee's supervisor in Core-CT and the newly designated supervisor will be responsible for approving the employee's timesheets. Core-CT is updated nightly after it synchronizes with the Smart HR transactions posted during the day. Note: Granting approval access may take up to one pay cycle for an individual who doesn't already have Supervisor designation within Core-CT.

UKG – Dining Services:

UKG is the payroll processing system for the following Dining Services personnel:

- UConn student workers paid by the State of Connecticut (aka: state workers)
- Non-student workers paid by The Department of Dining Services (DDS), a separate legal entity from the State of Connecticut (aka: non-state workers)

Note: Some Dining Services Personnel (i.e. management, administrators) are hired by UConn and are paid by the State of Connecticut as members of Management/Confidential, UCPEA or AFSME employee classifications. Their payroll is accounted for in Core-CT. These individuals may be granted access to the UKG payroll system by the Dining Services Human Resource Department ("DSHR") as timesheet approvers and/or system administrators, but their own time and attendance are recorded in Core-CT.

A. Requesting Initial Access and Granting Approval Authority:

The Dining Services Human Resource Department (DSHR) is the primary gatekeeper for access to the UKG timekeeping system. DSHR initiates the process of granting approval authority by designating the employee as a Unit Manager (UM) or an Assistant Unit Manager (AUM) within the UKG system. The Dining Services Payroll Office then reviews and approves the employee's manager status, which activates their approval authority within UKG.

When a dining services worker is hired, DSHR will enter that employee into the UKG time reporting system and assign them to the Dining Unit where they will be primarily working, referred to as their default unit. Each dining location has a Unit Manager and an Assistant Unit Manager who have approval authority in the UKG system. The managers are responsible for approving time sheets for all employees whose default unit falls under their supervision, even if the employee works in a different unit during the pay period.

Every Dining Unit has an assigned Student Manager (SM) and Assistant Student Manager (ASM) who supervise the student workers assigned to their Unit. Dining services workers swipe in and out of their shift using their Husky One Card IDs. SMs are responsible for reviewing UKG timesheets at the end of each pay period to ensure accuracy. If an error occurred (e.g. a student worker failed to clock out with their Husky One Card before leaving), the SM can correct the worker's timesheet before submitting it to the UM/AUM for approval. UMs/AUMs rely on the SMs to verify student workers' timesheets; however, in the rare event the UM/AUM need to approve a timecard without the student manager's review, they should consult the Dining Hall logbooks and scheduler app to confirm time worked. Once approved, timesheets are then routed to UConn's Dining Services Payroll Office for final review and approval.

Timesheets for non-student workers are first approved by the UM or AUM of their assigned Dining Unit and then by UConn's Dining Payroll Office. If the employee works in a Dining Unit other than their default location, their assigned UM or AUM may reach out to the UM/AUM of the other unit to confirm the time worked by the employee before approving their timesheet in UKG. Hours can be confirmed by the Dining Hall logbooks, which track callouts and other deviations to the normal schedule.

B. Changing or Termination Access or Approval Authority:

Non-Student Employees: The Dining Services Human Resources Department handles all promotions, demotions and terminations within UKG. They make any necessary changes to the individual's employment profile within UKG. The employment changes are then routed to UConn's Dining Services Payroll Office for final review and approval.

Student Employees: Students seeking employment with Dining Services must complete *The Dept. of Dining Services Student Payroll Authorization Form* and submit it to the UConn Dining Services Manager. Student Managers are expected to recruit a replacement before terminating their employment. The student applying for the Student Manager role must complete *The Dept. of Dining Services Student Payroll Authorization Form* which is signed by the graduating Student Manager and the Unit Manager for that Dining Unit. The form is then reviewed and approved by the UConn Dining Services Payroll Office. If approved, the new Student Manager will be granted authority within UKG to approve the timesheets for subordinate student workers assigned to their Dining Unit.

HuskyTime - Student Payroll Timekeeping System:

HuskyTime ("HT") is a timekeeping software used to record timesheets for student employees in departments where student supervisors are tasked with approving timesheets. Core-CT does not allow student supervisors to approve timesheets, nor does it allow students to record start and end times for their work shifts.

A. Requesting Initial Access and Granting Approval Authority:

Currently, there are two System Administrators who are ITS employees that hold the highest level of approval authority within the system. The System Administrators can assign Department Administrators who may then assign the following roles to departmental employees:

HT Role Assignment	**HT Access Rights**
Student	Can only submit a timesheet for themselves
Student Verifier	Can verify a timesheet submitted by another student in their same unit but not approve it
Student Leader	May edit, approve, or deny timesheets submitted by Students assigned to their unit(s)
Supervisor (Full-Time UConn Staff)	May add, edit, or update timesheets submitted by Students and Student Leaders assigned to their unit(s)
Department Administrator	Assigns all the above roles and delegates for each person. May edit, approve, or deny timesheets approved and submitted by Supervisors Locks and submits all approved timesheets to the System Administrators to upload into the Core-CT payroll system for payment processing

(i) The Student Leader role is the highest role that can be held by a student. The role is assigned by the Department Administrator but must also be approved by the System Administrator before the individual is granted approval authority. Not all departments using HT have Student Leaders. Currently, this role is only being used by Tier III student organizations. To serve in this role, Student Leaders must undergo training and meet the eligibility requirements outlined in the Student Leader Academic Eligibility Policy.

(ii) The Supervisor role can only be assigned to a full-time UConn staff member. Supervisors review and approve all timesheets for their assigned units.

(iii) Typically, each department using HT has at least two Department Administrators who have the same access rights and serve as delegates for one another.

(iv) Department Administrators determine who may serve as a delegate for each HT role assignment.

B. Changing or Termination Access or Approval Authority:

The System Administrator controls who can serve as a Department Administrator in HT. When a Department Administrator changes roles or leaves the University, either they or their delegate is responsible for notifying the System Administrator that their role needs to be reassigned to someone else.

Department Administrators are fully responsible for changing or modifying assigned roles within HT for student employees who leave or change positions. When a student's employment is terminated, the Department Administrator will mark the student HT profile as "inactive", which prevents the student from being able to submit a timesheet.

Public Safety Payroll (PSP):

A. Requesting Initial Access and Granting Approval Authority:

The Public Safety Payroll system is available to members of the Protective Services (NP-5) Bargaining Unit at UConn. Access to PSP is granted at the time of hire by the Department Administrator, and time approval access in the system is based upon an employee's title. When a public safety worker is hired, they are assigned to a unit/platoon which identifies their primary work location. Authorized approvers are only allowed to approve timesheets for subordinates within their assigned unit/platoon.

Using the Police Department as an example, the following table illustrates the level of approval access granted based on title/rank:

Police Title/Rank	Police Approval Access
Officer	No approval access in system.
Sergeant	Can approve time for Officers.
Lieutenant	Can approve time for Officers and Sergeants.
Captain	Can approve time for Officers, Sergeants, and Lieutenants.

B. Changing or Termination Access or Approval Authority:

When access changes are required in PSP, Department Administrators are responsible for updating an employee's title, location, and/or role within the system which determines their ability to approve timesheets. Department Administrators are also responsible for terminating an employee's access to the PSP system when employment is terminated.