

# SEAS HCOM Approver Training

May 2017



**HARVARD**  
John A. Paulson  
School of Engineering  
and Applied Sciences

## The Approver Role

The HCOM Approver/Final Approver can:

- View the details of requisitions awaiting their approval.
- Approve, reject, request more information or forward Requisitions.
- Modify the Requisition before authorizing it.



# Approver Responsibilities

**It is the responsibility of the Approver to ensure that the Requisition is:**

- In support of University business
  - Including but not limited to research and educational activities
- In compliance with:
  - Award/sponsor terms and conditions
  - Harvard policies
  - Federal regulations
  - Tax regulations
- Expense is coded correctly; 33-digit account string assigned to each line in the Requisition is valid; Costs are allowable on the account
- Correct according to:
  - The purchase request made in the Marketplace
  - The vendor quote/contract accompanying a Non-Catalog order
  - The invoice and/or supporting documentation in the case of Payment Request or Non-Employee Reimbursement



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# Preparer Review Guidelines

## All Preparers

- Review all receipts for appropriateness of expense on behalf of Harvard (alcohol, travel, etc.). Ensure all receipts are present or obtain an MRA
- Ask reimbursee questions or seek clarifications on the business purpose of the expense and documentation
- Ensure item/reimbursement has been (pre-)approved by PI or the budget owner
- Ask RPM for guidance regarding use of faculty funds, coding, and documentation backup
- Prepare and submit reimbursement in appropriate system
- Route paperwork to appropriate offices (if needed, depending on the type of reimbursement)
- Request tag from FAS equipment as needed when building new fabrications



# Approver Review Guidelines – Zero Dollar Approver

- Confirm that the shopper is associated with the fund they are buying with
- Ensure item/reimbursement has been (pre-)approved by PI or the budget owner
- Ensure fund/account string being used is valid
- Expenses are appropriate and benefit the project



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## Approver Review Guidelines – up to \$1000 (RPM)

- Expenses are appropriate and benefit the project
- Budget availability
- Allocable to strings used
- Receipts are present and tallied correctly
- Confidence in “complete” package to withstand audit selection (special attention to business purpose descriptions)
- Special attention to equipment purchases (involve FAS equipment as needed)
- Ensuring compliance with:
  - Award/sponsor terms and conditions
  - Harvard policies
  - Federal regulations



## Approver Review Guidelines – up to \$10K (Fin Ops)

- Confidence in “complete” package to withstand audit selection
- Budget availability
- Special attention to object code use and documentation (such as sub-recipient payments, equipment, etc.)
- Accuracy of coding strings used (no inversed digits)
- Obtain debarment form and upload to Requisition for orders over \$25k
- Ensuring compliance with:
  - Harvard and SEAS policies
  - Federal regulations



## Approver Review Guidelines – up to \$50K (ADRAF)

- Confidence in “complete” package to withstand audit selection
- Budget availability and allocability of expense
- Payment does not put SEAS at risk
- Ensuring compliance with:
  - Harvard policies
  - Federal regulations



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# Approval Process

## Review the request and check for the following:

- Requisition Description matches the entire request
- Cost does not exceed available balance on any charge account used
- Line Description provides sufficient detail for each item
  - Especially important for Non-Catalog, Payment Requests, and Non-Employee Reimbursements
  - This appears as 'Transaction Line Desc' on CREW DL report and is viewable on some financial reports submitted to sponsors
  - Description should specify the research project if directly relatable
- Category selected matches the Requisition type
  - Understand the difference between Catalog, Non-Catalog, Payment Request and Non Employee Reimbursement
- Supplier and site information are accurate (if known)
  - To verify the Vendor Address, click on the **View Requisitions Details** Link



## Approval Process cont.

### **Review the request and check for the following:**

- Object code matches the expense type
- Charge account is both valid and appropriate
- Review the Approval Sequence to ensure that the Requisition includes all appropriate Approvers
- Additional 'Note to Approver' information
- Attachments included in the Requisition

### **Make sure the Requisition is:**

- In support of University business
- In compliance with:
  - Award/sponsor terms and conditions
  - Harvard policies
  - Federal regulations
  - Tax regulations



## Approval Process cont.

If everything meets this criteria, click **Approve**

- If the Requisition requires additional approvals, the next Approver will be notified via email (if preferences have been set). This will result in the status of **In Process**
- If you are the Final Approver for this Requisition, a Purchase Order, Payment Request, or Non-Employee Reimbursement number will be created. This will result in Requisition status of **Approved**
  - Purchase Order (4000XXXXXXXX, 7000XXXXXXXX)
  - Payment Request (PR00XXXXXXXX)
  - Non-Employee Reimbursement (NR00XXXXXXXX)
- In both cases, the Requisition will be removed from your Worklist
- If you wish to see the history of any Requisition that you have approved, return to the Requisitions tab, select Approvals, click View: **Requisitions I Have Approved**



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# Approver Workflow - changes

To make changes to a Requisition, click on the Edit Requisition link

The Approver Shopping Cart screen will open:

- If a Payment Request, Non Employee Reimbursement or Non-catalog requisition: you can edit the Item Description field
  - Line Description should provide sufficient detail for each item
- If a Catalog requisition: you cannot edit the Item Description field
- Edit quantities, if applicable

Shop Requisitions Receiving Payment Request Reporting

 Navigator  Favorites

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Approver Shopping Cart

Requisition 6949629 is open for editing. Please click on the Approver Checkout button when you are done editing this requisition. Any changes made in the Approver Shopping Cart will not be saved until you check out.

Line	Item Description	Asset Tag Number	Line Level Notes	Unit	Quantity	Price	Amount (USD)	Sup
1	Regular, non-catalog order		Sample order for training.	Each	2	550 USD	1,100.00	
Total							1,100.00	



# Approver Workflow - changes

- Confirm **Requisition Description** is appropriate
- Make sure **Receiving Required for Payment** is checked off, unless Payment Request
- Confirm **Attn of Name of dept/room floor** is correct
- Check **Deliver-to Building** to insure it's correct (codes in Appendix)
- Make changes to account number by clicking on **Charge Account** link

\* Requisition Description

	<input checked="" type="checkbox"/> Receiving Required for Payment
* Need-By Date	<input type="text" value="23-May-2017 13:00:00"/>
	(example: 22-May-2017 19:45:00)
* Requester	<input type="text" value="Cummings, Donesia R"/>
* Attn of Name/Department	<input type="text" value="Donesia Cummings/SEAS Procurement"/>
* Attn of Room/Floor	<input type="text" value="20 University Rd, 6th Floor"/>
	<input type="checkbox"/> Set Attn Lines as Default
* Deliver-To Building	<input type="text" value="NR0013"/>

<b>Billing</b>
Charge Account <a href="#">325.28552.6600.000001.584510.0000.00000</a>



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## Approval Workflow

- Conduct Final Review (Step 3 of 3)
- Click **Submit**
- You will receive a Confirmation that edits have been made
- Click **Continue** to return to the Approval screen
- At this point, you can now: **Approve**, **Approve and Forward**, **Forward**, **Reject**, or **Request Information**



# Things to keep in mind when editing requisitions

1. If you make changes to a Requisition, the Shopper is not notified of any changes. **Communicate** changes to the preparer in advance when possible.
2. Whether you make changes to a Requisition or not, a Shopper can make changes to the Requisition until it has received Final Approval by withdrawing the Requisition
3. Each time a *Shopper* edits a Requisition, it goes through the entire approval process again. It does not go through the entire process again if an Approver edits the Requisition.
4. If the Requisition needs any additional approvals, another Approver may also edit the Requisition before Final Approval. You will not be notified of any changes made to the Requisition by other Approvers



# 'Request Information' Button

## Use Request Information button in order to:

- Ask Shopper questions about a Requisition prior to authorization
- Ask Shopper to review a Requisition
- Ask Shopper to attach additional documentation

After clicking the **Request Information** button, input the question into the **Information Requested** field and click **Submit**

- Requisition will be removed from your Worklist
- Shopper will receive email indicating that there is a question concerning the order (if preferences are set)
- When Shopper logs into HCOM, Shopper will see Notification in My Notifications section
- Shopper can then respond to question
- Once response is submitted, Approver is notified via email (if preferences are set). Requisition will re-appear on Approver worklist-you can review answer and then Approve, Reject, etc.





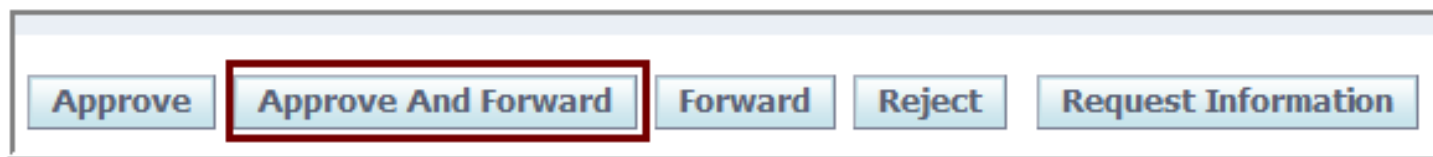
## 'Reject' Button

- If you need to Reject the Requisition, provide a reason for the rejection in the Response section first
  - Add reason for rejection in the **Note** field (Important: Add Note ***before*** clicking Reject)
- Click **Reject** button
- Requisition will be removed from the Worklist
- Requisition will have status of **Rejected**
- Shopper will receive email; Shopper can edit the Requisition and re-submit, if applicable



## Approve and Forward vs. Forward

- You can **Forward** or **Approve and Forward** Requisitions to other Approvers
  - Type in the Shopper's last name, click Flashlight and select from list
  - Add reason for Forward in **Note** field
- Click **Forward** or **Approve and Forward** button
- Requisition will be removed from the Worklist
- Requisition will be forwarded to selected Approver; Approver will receive email



# Approve and Forward vs. Forward

## What's the difference between Approve and Forward and Forward?

- The main difference is the **status** the requisition will be in after the action is selected
- If you are the Final Approver and you select *Approve and Forward* HCOM will mark the requisition as **Pre-Approved**. Once the user you forward to approves it, the requisition will automatically become a PO. However, if you are not the Final Approver, HCOM will build the approval path until it finds someone in the new approver's hierarchy that can approve the requisition.
- If you *Forward* the requisition status will be **In Process**. HCOM will rebuild the approval path based on the new approver's path until it finds someone that can approve all orgs and the dollar amount on the requisition.



# Approval Delegation Rules

- As Harvard requires Approval for orders before they are sent to the vendor, timely approvals are a key to success in HCOM
  - The Research Administration team at the Area level is committed to reviewing Requisitions within 1 business day from the time of submission
  - Financial operations is committed to review Requisitions within 1 business day of receiving notification
- There are a few options if you are not here to Approve Requisitions:
  - The Shopper can retrieve any Requisition with the status of **In Process** and change the First Approver to someone else who will then receive an email and then he/she can approve the request
  - If you have a planned absence, you should set a **Vacation Rule**
  - If you have an unplanned absence, you can share your approval work with another Approver by **Sharing Worklists**



# Vacation Rules

**Worklist**

View: Open Notifications

Select Notifications:

[Select All](#) | [Select None](#)

Select From	Type	Subject	Sent	Due
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4720009 for Harvard (TRAINER1), John (48,000.00 USD)</a>	08-Nov-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4720008 for Harvard (TRAINER1), John (1,440.00 USD)</a>	08-Nov-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4720007 for Harvard (TRAINER1), John (1,412.00 USD)</a>	08-Nov-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4719941 for Harvard (TRAINER1), John (196.30 USD)</a>	30-Sep-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4719942 for Harvard (TRAINER1), John (5,442.64 USD)</a>	30-Sep-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4719920 for Harvard (TRAINER1), John (450.00 USD)</a>	24-Sep-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4719915 for Harvard (TRAINER1), John (5,798.10 USD)</a>	20-Sep-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4719908 for Harvard (TRAINER1), John (450.00 USD)</a>	20-Sep-2012	
<input type="checkbox"/> Harvard (TRAINER2), Jane	HU Requisition	<a href="#">Purchase Requisition 4719890 has been rejected</a>	19-Sep-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	Requester Change Order Approval	<a href="#">Requisition 4719568 Change Request (3,196.00 USD) for Harvard (TRAINER1), John</a>	13-Sep-2012	14-Sep-2012
<input type="checkbox"/> Harvard (TRAINER1), John	Requester Change Order Approval	<a href="#">Requisition 4719592 Change Request (350.00 USD) for Harvard (TRAINER1), John</a>	13-Sep-2012	14-Sep-2012
<input type="checkbox"/> Harvard (TRAINER1), John	Requester Change Order Approval	<a href="#">Requisition 4719580 Change Request (150.00 USD) for Harvard (TRAINER1), John</a>	05-Sep-2012	06-Sep-2012
<input type="checkbox"/> Harvard (TRAINER1), John	Requester Change Order Approval	<a href="#">Reminder 13: Requisition 4719596 Change Request (25,000.00 USD) for Harvard (TRAINER1), John</a>	03-Sep-2012	04-Sep-2012
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4719583 for Harvard (TRAINER1), John (5,450.00 USD)</a>	21-Aug-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4719562 for Harvard (TRAINER1), John (42.80 USD)</a>	15-Aug-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4719426 for Harvard (TRAINER1), John (216.85 USD)</a>	09-Aug-2012	

Select Notifications:

☒ **TIP** Vacation Rules - Redirect or auto-respond to notifications.

☒ **TIP** Worklist Access - Specify which users can view and act upon your notifications.

- Set **Vacation Rules** from the **Requisitions** tab, **Notifications** Screen
  - The function allows you to set vacation start and end dates
  - Assign another Approver to authorize your requisitions while you are away



# Vacation Rules

Item Type Notification Rule Response

Vacation Rule: Response

\* Indicates required field

Item Type All

Notification All

\* Start Date 08-Nov-2012 02:13:24  
(example: 09-Nov-2012 02:13:24)

End Date 15-Nov-2012 02:13:31

Message Please forward all requisitions to Joseph Harvard

Comments will display with each routed notification

Delegate All Employees and Users Harvard (TRAINER4), Joseph

Cancel Back Step 3 of 3 Apply

- Follow the steps to set the rule
- Be sure to add an end date
- Once a Shopper creates a Requisition, it will be delegated to the selected Approver; Approver will receive email notifications about requisitions on behalf of the absent Approver (if preferences are set)

# Vacation Rules

Sequence	Approver	Organization Name	Action	Action Date	Notes
3	Harvard (TRAINER4), Joseph	Harvard University Business Group	Pending		
2	Harvard (TRAINER3), Jessica	Harvard University Business Group	Delegated	08-Nov-2012 02:24:19	
1	Harvard (TRAINER1), John	Harvard University Business Group	Submitted	08-Nov-2012 02:24:18	

- You will be able to see the audit trail of the requisition in HCOM



# Setting up Shared Worklists

Approvers that have responsibility for a large volume of requisition approvals may elect to share their worklist with others.

Share worklists can also be used when the approver is away unexpectedly

View Open Notifications Go

Select Notifications: Open Close

Select All Select None

Select From	Type	Subject	Sent	Due
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4828954 for Harvard (TRAINER1), John (800.00 USD)</a>	08-Nov-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4828935 for Harvard (TRAINER1), John (19,125.00 USD)</a>	07-Nov-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4828933 for Harvard (TRAINER1), John (120.00 USD)</a>	30-Oct-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4828904 for Harvard (TRAINER1), John (5,709.20 USD)</a>	26-Sep-2012	

✓ TIP Vacation Rules - Redirect or auto-respond to notifications.

✓ TIP Worklist Access - Specify which users can view and act upon your notifications.





# Setting up Shared Worklists

## Worklist Access

The following users have access to view and act upon your worklist

**Grant Worklist Access**

Grant Worklist Access

Grant another user access to view and act upon your notifications via the Worklist.

\* Indicates required field

\* Name: All Employees and Users

Description:

\* Start Date: 08-Nov-2012 (example: 24-Oct-2012)

End Date:

Grant Access to:

☒ All Item Types

☐ Selected Item Types

Cancel Apply

Cancel Apply



# To View a Shared Worklist

To View a Shared Worklist, select Switch User on the Notifications list and choose the worklist you wish to act on.

View Open Notifications Go

Select Notifications: Open Close Switch User

Select All | Select None

Select From	Type	Subject	Sent	Due
<input type="checkbox"/> Harvard (TRAINER2), Jane	PO Change Approval for Requester	<a href="#">Response to Requisition 4828919 Change Request(0.00 USD) for Harvard (TRAINER2), Jane</a>	04-Oct-2012	
<input type="checkbox"/> Harvard (TRAINER2), Jane	Requester Change Order Approval	<a href="#">Change Requests from Harvard (TRAINER2), Jane for Order NR000420769 has been Approved</a>	04-Oct-2012	

✓ TIP Vacation Rules - Redirect or auto-respond to notifications.  
✓ TIP Worklist Access - Specify which users can view and act upon your notifications.

Requisitions, Notifications >

Switch User

Current User Harvard (TRAINER2), Jane

Cancel Apply

Select Name	Email
<input type="radio"/> Harvard (TRAINER3), Jessica	

Worklist for Harvard (TRAINER3), Jessica

View Open Notifications Go

Select Notifications: Open Close Switch User

Select All | Select None

Select From	Type	Subject	Sent	Due
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4828954 for Harvard (TRAINER1), John (800.00 USD)</a>	08-Nov-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4828935 for Harvard (TRAINER1), John (19,125.00 USD)</a>	07-Nov-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4828933 for Harvard (TRAINER1), John (120.00 USD)</a>	30-Oct-2012	
<input type="checkbox"/> Harvard (TRAINER1), John	HU Requisition	<a href="#">Purchase Requisition 4828904 for Harvard (TRAINER1), John (5,709.20 USD)</a>	26-Sep-2012	



## Requisitions under \$1,000 created by yourself

- Create a Requisition according to the guidelines
  - Example: Subcontract invoices
- In the approval screen make sure to **add an approver** from SEAS Financial Operations team.
- SEAS Financial Operations team will Approve and Forward to ADRAF as needed

