

# Banner Finance Approvals Training Workbook

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## Section A: Introduction

### Lesson: Overview

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#### **Workbook goal**

The goal of this workbook is to provide you with the knowledge and practice to perform online approvals at your institution. The workbook is divided into four sections:

- Introduction
- Set-up
- Day-to-day operations
- Reference.

#### **Intended audience**

Finance staff members who create documents and the finance managers who approve them.

#### **Section contents**

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## Section A: Introduction

### Lesson: Process Introduction

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#### Introduction

Finance documents are created online in document entry forms. These documents include Journal Vouchers, Automatic Journal Vouchers, Encumbrances, Purchase Orders, Requisitions, Change Orders, Invoice/Credit Memos, Fixed Asset adjustments, and Cash Receipts. You may choose for any or all of these types of documents to require approval before they are posted. The approvals process inserts an additional step between the completion of a document and the posting of that document. In setting up your approvals process, you may specify one or more persons who must review and approve this document before it can be posted.

Several forms and one Banner job are used to have the approval process work. They are:

- Approval Queue Maintenance Form (FTMAPPQ)
- Approval Queue Validation Form (FTVAAPQ)
- Approval Queue Routing Codes Form (FOMAQRRC)
- Approval Process (FORAPPL)
- Approvals Notification Form (FOIAINP)
- Document by User (FOADOCU)
- User Approval Form (FOAUAPP)
- Document Approval Form (FOAAINP)
- Document Approval History Form (FOIAPPH)
- Approval History Form (FOIAPHT)

Note: You can only approve or disapprove (i.e. deny) documents on the User Approval Form (FOAUAPP) and the Document Approval Form (FOAAINP). The Originating User can disapprove their document using the Document by User Form (FOADOCU).



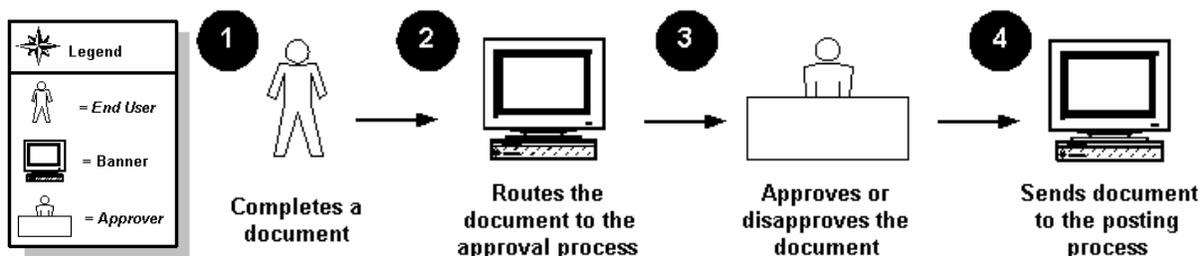
## Section A: Introduction

### Lesson: Process Introduction (Continued)

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#### Flow diagram

This diagram highlights the processes used to perform finance approvals within the overall Finance process.



#### About the process

- The process is set to work globally for all Charts of Accounts when it is turned on.
- The process allows for specific documents to be approved; not all types of documents require approval.
- The approval process occurs after the completion of the document but before it is posted.
- Documents are routed to an approval queue based on matching the FOAPAL on the document to the queue routing criteria.
- The system does not allow for duplicate routing criteria.



## Section A: Introduction

### Lesson: Process Introduction (Continued)

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#### **How the routing criteria works**

On the Approval Queue Routing Codes form (FOMAQRC), queues are routed based on three required fields - Document type (like Requisitions), rule group (REQG), and Chart of Accounts; and six optional fields – Fund, Fund Type, Organization, Account, Account Type and Program. The six optional fields may use their respective hierarchy (predecessor funds, fund types, organizations, accounts, account types and programs) to help route documents without building a queue for each individual fund, organization, account or program. In addition, the optional fields are arranged in priority so that funds are considered first before fund type, fund type before organization, organization before account, etc.

Furthermore, the document's FOAPALs are matched to these required and optional fields on FOMAQRC and the document will always be routed to the approver on the queue with the most matches. If there is a case where the document has the same number of matches between the two different queues, then document will be routed to the queue that had a higher priority match.

For example, I have two queue criteria's with the same document type, rule group and chart of accounts, and queue A had a fund criterion while queue B had an organization criterion.

A document with both the fund from queue A and the organization from queue B on it's accounting line would be routed to queue A. The reason, both queue A and B had one match but the approval process determines that fund matches have a higher priority than organization matches.



## Section A: Introduction

### Lesson: Terminology

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#### **Types of approvals**

**Bypass Approvals** – The approval process will be bypassed for this document type. This means the approval process is “turned off” for this document type.

**Explicit Approvals** – This means the approval process is “turned on” for this document type. If the originator of the document is also an approver, he/she will have to approve the document in a separate step.

**Implicit Approvals** – This means the approval process is “turned on” for this document type. If the originator of the document is also an approver, his/her approval will be assumed (implied) when the document is completed. No additional approval by this user will be required.



## Section B: Set Up

### Lesson: Overview

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#### Introduction

The purpose of this section is to outline the set-up process and detail the procedures to set-up your Banner Finance system to handle approvals.

#### Intended audience

The Finance personnel charged with maintaining the charts, rule forms and security.

#### Objectives

At the end of this section, you will be able to:

- identify and describe the maintenance forms that will be needed for the approvals process
- initiate the approvals process
- establish document approval queues
- create queue routing criteria.

#### Prerequisites

To complete this section, you should have:

- completed the Education Practices computer-based training (CBT) tutorial “Banner 7 Fundamentals,” or have equivalent experience navigating in the Banner system
- completed the Chart of Accounts training workbook
- administrative rights to create the setup the maintenance forms needed in Approvals.

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## Section B: Set Up

### Lesson: Initiating the Approvals Process

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#### Introduction

The Finance System Control Form (FOASYSC) is used to “turn on” the approvals feature.

**Warning:** FOASYSC is a system-wide form. Consequently, only one person can make changes to this form at one time. Only one training participant should make the changes to this form. Once any changes are made on this form, users will need to log out and log back on to Banner for the changes to take effect.

#### Banner form

System Control Maintenance FOASYSC 7.0

Effective Date: 27-DEC-2004    Termination Date:    Next Change Date:    Last Activity Date: 27-DEC-2004

Active Status

Interchart Due To Account:     
Interchart Due From Account:     
Federal Employer ID: 123456789

Multiple Fund Balance  
 Rule Class Security  
 Fund and Organization Security  
 Consolidated Posting  
 Deferred Edit  
 Self Service Budget Development

Approval Override Information FOASYSC 7.0

Requisitions: Explicit Approvals  
Purchase Orders: Explicit Approvals  
Change Orders: Explicit Approvals  
Journal Vouchers: Bypass Approvals  
Encumbrances: Bypass Approvals  
Invoices: Bypass Approvals  
Fixed Assets: Bypass Approvals  
Cash Receipts: Bypass Approvals



## Section B: Set Up

### Lesson: Initiating the Approvals Process (Continued)

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#### Procedure

This exercise demonstrates how to establish an approval process. First you must identify the Finance documents that need to go through an approval process, and whether they need explicit or implicit approval. For this exercise, the instructor will select documents to *Explicit Approvals*.

Step	Action
1	Access the System Control Maintenance Form (FOASYSC).  <u>Warning:</u> FOASYSC is a maintenance form. You can only make changes to it effective as of the current date. Before making any changes, you must insert a new record (F6) and duplicate the existing record (F4). Then you must change the <b>Effective Date</b> field to the current date.
2	Perform an <b>Insert Record</b> function.
3	Perform a <b>Duplicate Record</b> function.
4	Change the effective date to today's date.
5	Click <u>Approval Processing Info</u> from the <b>Options</b> menu to initiate approvals processing.  <u>Result:</u> This will display the Approval Override Information window.  <u>Note:</u> In the Approval Override Information window Banner displays a list of documents for which you can establish an approval process.
6	Select Explicit Approvals for the <b>Requisitions</b> fields.
7	Verify that <b>Bypass Approvals</b> are selected for the remaining fields.
8	Click the <b>Save</b> icon.
9	Click the <b>Exit</b> icon.
10	Log off the Banner system and then log on again.  <u>Note:</u> One must be signed off for the changes to become effective.



## Section B: Set Up

### Lesson: Establishing Document Approval Queues

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#### Introduction

Document approval queues must be established by using the Approval Queue Maintenance Form (FTMAPPQ). In this form you specify whose approval is required for this queue, and what amounts they are authorized to approve. You can specify what types of documents and which components of the FOAPAL are to be routed to a particular queue using the Approval Queue Routing Codes Form (FOMAQRC).

#### Banner form

Approval Queue Maintenance FTMAPPQ 7.0 (C700)

Queue ID:   Queue Limit:

Next Queue:

---

**Queue Level Information**

Effective Date	Termination Date	Level	User ID	Name	Approval Limit	Next Change Date
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>



## Section B: Set Up

### Lesson: Establishing Document Approval Queues (Continued)

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#### Critical fields – Key block

The critical Key block fields are

- The **Queue ID** can be up to four characters long. It can be alphabetic or numeric or a combination.
- The **Queue Description** is the name of this queue.
- The **Queue Limit** is the maximum amount that the highest-level approver on this queue is authorized to approve.
- The **Next Queue** specifies a subsequent queue (if applicable) to which you wish to route a document after this queue.

Note: A document will proceed to the **Next Queue** listed only when the document exceeds the **Queue Limit of the initial queue and the initial queue has completed the approval process.** **Queue Limits** of zero are permitted; a Queue with a Queue Limit of zero can never finalize a document to forward it to posting and therefore would need to go to Next Queue.

The queue itself contains the User IDs of the personnel whose approval is required for this document, and the level of that approval. The approvers need to be set up in User Profile Maintenance form (FOMPROF). The **Level** setting assigned in FTMAPAQ ranks the users in that queue. A higher-level setting can “pre-empt” a lower level. If a document is approved by the level 5 user, it does not need the approval of the level 1 user (and it will only need the approval of the level 10 user if it exceeds the level 5 user’s dollar limit). Users in separate queues (for example, users in REQ1 and users in REQ2) cannot preempt one another in this way.

Note: It is recommended that, for every level of approval responsibility, you assign at least two persons. This is to avoid situations in which documents are held up because an approver is unavailable.

#### Other fields

The table shows fields you should know when completing the procedure that follows.

Field	Description
<b>Effective Date</b>	The date the approval level takes effect.
<b>Termination Date</b>	Used to terminate a particular approver’s approval responsibility. In most cases terminating one approver will mean inserting a new one to take over the approval responsibility.



## Section B: Set Up

### Lesson: Establishing Document Approval Queues (Continued)

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#### Levels and limits for Procedure 1

Use the information in the table to complete the procedure that follows for requisitions queue 1.

Level	Limit
1	1000.00
5	3000.00
9	5000.00
13	7500.00
17	10000.00

#### Procedure 1 – Requisitions Queue 1

This exercise will demonstrate how to establish document approval queues and the levels within the queue. Follow these steps to complete the process.

**Warning:** This exercise only creates two queues, so it cannot be performed by each participant. If each participant is to create a unique queue, each must have a unique ID and differing funds and organization codes.

Step	Action
1	Access the Approval Queue Maintenance Form (FTMAPPQ).
2	Create a four-character code to identify the approval queue. Enter <i>REQ1</i> in the <b>Queue ID</b> field.
3	Enter <i>Requisitions Queue 1</i> in the <b>Description</b> field.
4	Enter <i>10000.00</i> in the <b>Queue Limit</b> field or REQ1.
5	For now, leave the <b>Next Queue</b> field blank.
6	Enter your starting Chart date in the <b>Effective Date</b> field.
7	Leave the <b>Termination Date</b> field blank.
8	Enter a <i>1</i> in the <b>Level</b> field.
9	Enter a valid User ID in the <b>User ID</b> field, or double-click to select one.
10	Enter the dollar limit for this user's approval in the <b>Limit</b> field. Use the value <i>1000.00</i> .  <i>Note:</i> The <b>Limit</b> listed here can be less than the <b>Queue Limit</b> specified in the Key Block, but never more. This <b>Limit</b> applies to the listed user ID. You can list several users with graduated <b>Limits</b> up to the amount specified in the overall <b>Queue Limit</b> .
11	Repeat steps 6-10 to add an additional user approval levels making sure to modify <b>Levels</b> and <b>Limits</b> for REQ 1 as listed in the table above.
12	Click the <b>Save</b> icon.
13	Perform a <b>Rollback</b> function.



## Section B: Set Up

### Lesson: Establishing Document Approval Queues (Continued)

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#### Procedure 2 – requisitions queue 2

Follow these steps to complete the process.

Step	Action
1	Access the Approval Queue Maintenance Form (FTMAPPQ).
2	Create a four-character code to identify the approval queue. Enter <i>REQ2</i> in the <b>Queue ID</b> field.
3	Enter <i>Requisitions Queue 2</i> in the <b>Description</b> field.
4	Enter 999999999.99 in the <b>Queue Limit</b> field of REQ2.
5	Leave the <b>Next Queue</b> field blank.
6	Enter your starting Chart date in the <b>Effective Date</b> field.  Note: The <b>Effective Date</b> is the date the approval level takes effect.
7	Leave the <b>Termination Date</b> field blank.
8	Tab to the <b>Level</b> field and enter a 1.
9	Tab to the <b>User ID</b> field and enter a valid User ID or double click in the field and select one.
10	Tab to the <b>Limit</b> field and enter 15000.00 for the dollar limit of this user's approval.  Note: The <b>Limit</b> listed here can be less than the <b>Queue Limit</b> specified in the Key Block, but never more. This <b>Limit</b> field applies to the listed user ID. You can list several users with graduated <b>Limits</b> up to the amount specified in the overall <b>Queue Limit</b> .
11	Enter your starting Chart date in the <b>Effective Date</b> field to add an additional user approval level.
12	Leave the <b>Termination Date</b> field blank.
13	Tab to the <b>Level</b> field and enter a 5.
14	Tab to the <b>User ID</b> field and enter a valid User ID or double click in the field and select one.  Note: Make sure the User ID is different than the one selected in step 10.
15	Tab to the <b>Limit</b> field and enter 999999999.99 for the dollar limit of this user's approval.
16	Click the <b>Save</b> icon.
17	Click the <b>Exit</b> icon.



## Section B: Set Up

### Lesson: Establishing Document Approval Queues (Continued)

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#### Procedure 3 – NSF queue

This exercise will set up an NSF queue with a back up approver. Follow these steps to complete the process.

Note: The NSF queue will never need routing criteria since the system is built to route unsatisfied NSF conditions to this queue after the document has been approved through other approval queues. Documents will only route to the NSF queue if the approver does NOT override an NSF condition. The NSF queue is a system required queue.

Step	Action
1	Access the Approval Queue Maintenance Form (FTMAPPQ).
2	Perform an <b>Enter Query</b> function.
3	Enter <i>NSF</i> in the <b>Queue ID</b> field.
4	Perform an <b>Execute Query</b> function.
5	If no record is retrieved, cancel your query.
6	Enter <i>NSF</i> in the <b>Queue ID</b> field.
7	Enter <i>Over Budget Documents</i> in the <b>Description</b> field.
8	Enter 99999999.99 in the <b>Queue Limit</b> field of NSF.
9	Leave the <b>Next Queue</b> field blank.
10	Enter your starting Chart date in the <b>Effective Date</b> field.  <u>Note:</u> The <b>Effective Date</b> is the date the approval level takes effect.
11	Leave the <b>Termination Date</b> field blank.
12	Tab to the <b>Level</b> field and enter a 1.
13	Tab to the <b>User ID</b> field and enter a valid User ID or double click in the field and select one.  <u>Note:</u> The USER ID assigned must have NSF override check in their FOMPROF.
14	Tab to the <b>Limit</b> field and enter 0.00 for the dollar limit of this user's approval.
15	Repeat steps 10 - 14 to add an additional user approval level.
16	Perform a <b>Next Record</b> function to add an additional user approval level
17	Enter your starting Chart date in the <b>Eff Date</b> field.
18	Leave the <b>Term Date</b> field blank.
19	Tab to the <b>Level</b> field and enter a 2.
20	Tab to the <b>User ID</b> field and enter in the same user used on step 14.  <u>Note:</u> this person is the main approver



## Section B: Set Up

### Lesson: Establishing Document Approval Queues (Continued)

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#### Procedure, continued

Step	Action
21	Tab to the <b>Limit</b> field and enter 999999999.99 for the dollar limit of this user's approval  <u>Note:</u> By doing steps 11-21 we have forced approval process to send the next approver message to this user defined one levels 1 and 2. The Back-up person (steps 21-27) will not get this message - a benefit if they are filling in once and awhile.
22	Perform a <b>Next Record</b> function to add an additional user approval level
23	Enter your starting Chart date in the <b>Eff Date</b> field.
24	Leave the <b>Term Date</b> field blank.
25	Tab to the <b>Level</b> field and enter a 2.
26	Tab to the <b>User ID</b> field and enter a valid User ID or double click in the field and select one.  <u>Note:</u> The USER ID assigned must have NSF override check in their FOMPROF. This is the back-up to the user on level 1
27	Tab to the <b>Limit</b> field and enter 999999999.99 for the dollar limit of this user's approval
28	Click the <b>Save</b> icon.
29	Click the <b>Exit</b> icon.



## Section B: Set Up

### Lesson: Creating Queue Routing Criteria

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#### Introduction

Use the Approval Queue Routing Codes Form (FOMAQRC) to route documents to a particular queue. You can route documents by Document type, rule group, and FOAPAL.

Notes: Not every queue must have routing criteria. Documents will be routed to a queue that is listed as a **Next Queue**, even if that next queue has no routing criteria of its own.

No two queues may have identical routing criteria.

Since all documents of a given type will be routed for approval, it is important to build a “catch all queue” for each document type. Each queue would have the document type, rule group and chart of accounts as its criteria.

#### Banner form

Approval Queue Routing Codes FOMAQRC 7.0 (C700)

Queue ID:

---

Document Type:

Rule Group:

Chart of Accounts:

Fund:

Fund Type:

Organization:

Account:

Account Type:

Program:



## Section B: Set Up

### Lesson: Creating Queue Routing Criteria (Continued)

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#### Fields

Use the information in the table to complete the procedure that follows.

Field	Description
<b>Fund</b>	Identifies the document's fund code that you want routed for the queue.
<b>Fund Type</b>	Identifies the document's fund type that you want routed for the queue.
<b>Organization</b>	Identifies the document's organization code that you want routed to the queue.
<b>Account</b>	Identifies the document's account code that you want routed for the queue.
<b>Account Type</b>	Identifies the document's organization code that you want routed for the queue.
<b>Program</b>	Identifies the document's program code that you want routed for the queue.

#### Procedure

This exercise will set routing criteria for requisitions. Follow these steps to establish a document routing for new queues.

Step	Action
1	Access the Approval Queue Routing Codes Form (FOMAQRC).
2	Enter <i>REQI</i> in the <b>Queue ID</b> field.
3	Perform a <b>Next Block</b> function.
4	Enter <i>REQ</i> in the <b>Document Type</b> field or double-click in the field to select REQ from the list.
5	Enter <i>REQG</i> in the <b>Rule Group</b> field or double-click in the field to select REQG from the list.  <i>Note:</i> This will identify the rule groups that Banner will route to the queue. REQG is the rule group for requisitions.
6	Enter <i>B</i> in the <b>Chart of Accounts</b> field.



## Section B: Set Up

### Lesson: Creating Queue Routing Criteria (Continued)

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#### Procedure, continued

Step	Action
7	<p>Enter <i>1110</i> in the <b>Fund</b> field. This will identify the document's Fund code that you want routed for the queue.</p> <p><u>Note:</u> Leave the <b>Fund Type</b>, <b>Organization</b>, <b>Account</b>, <b>Account Type</b>, and <b>Program</b> blank. See the table above for descriptions.</p> <p><u>Note:</u> The <b>Document Type</b>, <b>Rule Group</b>, and <b>Chart of Account</b> fields are mandatory. Also, you cannot enter both <b>Fund type</b> and <b>Fund</b>, or both <b>Account type</b> and <b>Account</b>.</p>
8	Click the <b>Save</b> icon.
9	Click the <b>Rollback</b> icon.
10	Enter <i>REQ2</i> in the <b>Queue ID</b> field.
11	<p>Enter <i>REQ</i> in the <b>Document Type</b> field.</p> <p><u>Result:</u> Requisition will display next field.</p>
12	Enter <i>REQG</i> in the <b>Rule Group</b> field or double click in the field to select REQG from a list.
13	Enter <i>B</i> in the <b>Chart of Accounts</b> field or double click in the field to select B from a list.
14	<p>Enter <i>1110</i> in the <b>Fund</b> field.</p> <p><u>Result:</u> This will identify the document's Fund code that you want routed for the queue. The name of the Fund will display next to the field.</p>
15	<p>Enter <i>11001</i> in the <b>Organization</b> field.</p> <p><u>Result:</u> This will identify the document's Organization code that you want routed for the queue. The name of the organization will display next to the field.</p>
16	Click the <b>Save</b> icon.
17	Click the <b>Exit</b> icon.



## Section B: Set Up

### Lesson: Self Check

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#### Directions

Use the information you have learned in this workbook to complete this self check activity.

#### Question 1

What form lists the documents for which you can establish an approval process?

#### Question 2

What are the three types of approvals?

#### Question 3

First you must identify the Finance documents types that need to go through an approval process. True or False?

#### Question 4

What is the purpose of the **Next Queue** field on FTMAPPQ?

#### Question 5

In FTMAPPQ, how can one determine if a change was made to the approval queues?

#### Question 6

In FTMAPPQ, if you wanted to create a queue and ensure that *every* document that went through this queue proceeded to the **Next Queue**, what value would you assign as the **Queue Limit**?



## Section B: Set Up

### Lesson: Answer Key for Self Check

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#### Question 1

What form lists the documents for which you can establish an approval process?

**The System Control Maintenance Form (FOASYSC)**

#### Question 2

What are the three types of approvals?

**Bypass Approvals  
Explicit Approvals  
Implicit Approvals**

#### Question 3

First you must identify the Finance documents types that need to go through an approval process.

**True** or False

#### Question 4

What is the purpose of the **Next Queue** field on FTMAPPQ?

**The Next Queue field will identify the next “queue” that must also approve the same type of documents. The next queue receives the document after the initial queue completes the approval process.**

#### Question 5

In FTMAPPQ, how can one determine if a change was made to the approval queues?

**The Next change Date field will display the date the last changed occurred to an approval level.**

#### Question 6

In FTMAPPQ, if you wanted to create a queue and ensure that *every* document that went through this queue proceeded to the **Next Queue**, what value would you assign as the **Queue Limit**?

**Zero. A queue with a zero limit would require a Next Queue (since it couldn't approve any documents itself) but all documents could be required to go through this queue before proceeding.**



## Section C: Day-to-Day Operations

### Lesson: Overview

◀ [Jump to TOC](#)

#### **Introduction**

The purpose of this section is to explain the day-to-day or operational procedures to handle finance approvals procedures at your institution.

#### **Intended audience**

Finance employees who create documents and the finance managers that approve them.

#### **Objectives**

At the end of this course, participants will be able to:

- create requisitions for approval and run the approvals process
- route documents to specific users based upon the approval queues
- determine if documents are awaiting your approval and approve them if necessary
- work with NSF checking and approvals
- display approval history for a document.

#### **Prerequisites**

To complete this workbook, you should have:

- completed the Education Practices computer-based training (CBT) tutorial “Banner 7 Fundamentals,” or have equivalent experience navigating in the Banner system
- completed the Chart of Accounts training workbook.

You will also need to ensure that the rules and validation codes in Banner needed for Finance Approvals have been set up for you.



## Section C: Day-to-Day Operations

### Lesson: Overview (Continued)

◀ [Jump to TOC](#)

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## Section C: Day-to-Day Operations

### Lesson: Process Introduction

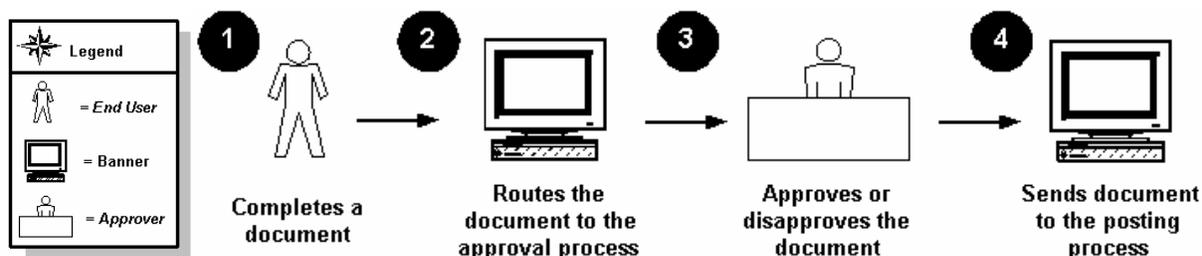
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#### About the process

The day-to-day process involves creating a document that goes through the approval process.

#### Flow diagram

This diagram highlights the processes used to process finance approvals.



#### What happens

The stages of the process are described in this table.

Stage	Who/what does it	Description
1	End user	completes a document (voucher, requisition, etc.).
2	Banner	routes the document to the approvals process.
3	Approver	approves or disapproves the document.  <u>Note:</u> Based on the document and approval queues, the document is routed appropriately. The disapproved document is 'opened up' again and sent back to the original person who created it to either adjust or delete it. If adjusted, the document will go through the approval process once again.
4	Banner	sends the approved document to the posting process.



## Section C: Day-to-Day Operations

### Lesson: Creating Requisitions for Approval

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#### Banner form

The Requisition Form (FPAREQN) is used to create and maintain the header, commodity, and accounting information for requisitions. Since, in an earlier procedure, we turned on approvals for requisitions, all requisitions will now be routed for approval when the processor clicks on the completion button.

Note: Documents for which approvals are required do not post until *all* required approvals have been obtained.

Note: If a requisition includes FOAPAL elements that are routed to two different queues, the requisition will require the approvals listed on both of these queues.

Requisition:  ▼ 

#### Procedure

Each person should enter at least three requisitions. The first one should be an amount below your approval queue amount in queue, REQ1. The second should be below your approval queue amount in queue, REQ2. The third one can have any amount, but should have a fund other than 1110 and an organization other than 11101.

Follow these steps to complete the process.

Step	Action
1	Access the Requisition Form (FPAREQN).
2	Enter <i>Next</i> in the <b>Requisition</b> field.
3	Perform a <b>Next Block</b> function.
4	Change the order date in the <b>Order Date</b> field if the current date is not accurate.
5	Change the transaction date in the <b>Transaction Date</b> field if the current date is not accurate.



## Section C: Day-to-Day Operations

### Lesson: Creating Requisitions for Approval (Continued)

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#### Procedure, continued

Step	Action
6	Enter a delivery date in the <b>Delivery Date</b> field.  <u>Note:</u> The delivery date must be the same as or later than the order date.
7	Enter the requestor in the <b>Requestor</b> field.  <u>Note:</u> If set up, the value will default based on FOMPROF settings.
8	Enter <i>B</i> in the <b>COA</b> field.
9	Enter <i>11001</i> in the <b>Organization</b> field.
10	Click the <b>Search</b> icon, and enter a shipping address in the <b>Ship To</b> field.  <u>Note:</u> When you select a shipping address the <b>Address, Phone, Contact,</b> and <b>Attention</b> fields will be filled in. If set up, the value will default based on FOMPROF settings.
11	Select the <b>Vendor Information</b> tab.
12	Select a vendor in the <b>Vendor</b> field.  <u>Note:</u> Once a vendor is selected, the remaining fields will be filled in for you, if the <b>Procurement</b> address exists for the vendor.  If you need to create a vendor or add address information for the vendor, use the Vendor Maintenance Form (FTMVEND).
13	Select the <b>Commodity/Accounting</b> tab.
14	Select a commodity in the <b>Commodity</b> field.
15	Select a unit of measure in the <b>U/M</b> field. In this exercise select <i>EA</i> .
16	Tab to the <b>Quantity</b> field and enter 1 for the quantity of items to be requested.
17	Tab to the <b>Unit Price</b> field and enter \$950 for the unit price of this commodity.
18	Tab to the <b>Commodity</b> field.
19	Perform a <b>Next Block</b> function.
20	Enter <i>B</i> in the <b>COA</b> field.
21	Fiscal year will default in based on the transaction date.
22	Enter <i>1110</i> in the <b>Fund</b> field.
23	Enter <i>11005</i> in the <b>Orgn</b> field.
24	Enter <i>7210</i> in the <b>Acct</b> field.



## Section C: Day-to-Day Operations

### Lesson: Creating Requisitions for Approval (Continued)

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#### Procedure, continued

Step	Action
25	Enter <i>10</i> in the <b>Prog</b> field.
26	Go to the <b>USD extended</b> field.
27	Enter <i>950</i> .
28	Select the <u>Balancing/Completion</u> tab.
29	Review the <b>Header</b> , <b>Commodity</b> , and <b>Accounting</b> amounts.
30	If these amounts are in balance, click the <b>Complete</b> button.
31	Note the message in the lower left-hand corner of your screen. This message should note that your Requisition has been <i>“forwarded to the Approval Process.”</i>  <u>Note:</u> Make a note of this and the following Requisition numbers. You want to track the progress of this document through the Approvals process.
32	Click the <b>Rollback</b> icon.
33	Repeat Steps 2-30 to create another requisition, but change the organization to 11001 and make the amount of the requisition \$16,000.
34	Click the <b>Rollback</b> icon.
35	Repeat Steps 2-30 to create your third and final requisition, but sure the fund code in FOAP is not fund 1110 nor the organization code is 11001.
36	Click the <b>Exit</b> icon.



## Section C: Day-to-Day Operations

### Lesson: Running the Approvals Process

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#### Introduction

The Approvals Process (FORAPPL) is the process that reviews completed documents and ‘maps’ their approval requirements, i.e., assigns them to the queues you created in the preceding Lessons. This process collects all documents in the FOBAPPD table and searches for queues appropriate to them. The output for this process lists all documents it has encountered, including errors encountered, e.g., documents for which no appropriate approval queue could be found.

Normally, the FORAPPL process will be set up to run in “sleep/wake” mode in your production environment. That is, it will run in background, checking at regular intervals (between 30 and 120 seconds recommended) for any recently completed documents, and assigning their approvals without any manual intervention. However, you need to be aware of this process and how it runs. In this exercise you will run the Approval Process manually, and review the results of it.

Note: It is important to regularly review the output of the FORAPPL process, even when it is set up to run in “sleep/wake” mode. This output will alert you to documents that are not finding appropriate approval queues (e.g., document exceeds queue limit, FOAPAL not on any queue).

#### Banner form

The screenshot shows a web-based form titled "Process Submission Controls GJAPCTL 7.0 (C700)". The form is divided into several sections:

- Process:** A dropdown menu set to "FORAPPL" and a text field containing "Approval Process".
- Parameter Set:** A dropdown menu.
- Printer Control:** A section with a "Printer:" dropdown set to "DATABASE", a "Special Print:" text field, "Lines:" set to "55", and a "Submit Time:" text field.
- Parameter Values:** A table with two columns: "Parameters" and "Values". Each column has a dropdown menu and a list of empty text input fields. There are checkboxes on the left side of the table.
- Submission:** A section with a "Save Parameter Set as" checkbox, "Name:" and "Description:" text fields, and radio buttons for "Hold" and "Submit".



## Section C: Day-to-Day Operations

### Lesson: Running the Approvals Process (Continued)

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#### Procedure

In this exercise you'll submit the FORAPPL process through the Job Submission Control Form (GJAPCTL) and review the output. Follow these steps to complete the process.

Step	Action
1	Access the Approvals Process (FORAPPL).
2	Enter <i>DATABASE</i> in the <b>Printer</b> field (or select a valid printer from the List of Values associated with this field).
3	Perform a <b>Next Block</b> function.
4	Note that there are no <b>Parameters</b> for this process.
5	Perform a <b>Next Block</b> function.
6	Click the <b>Save</b> icon.



## Section C: Day-to-Day Operations

### Lesson: Determining If Documents are Awaiting Your Approval

◀ Jump to TOC

#### Introduction

To ensure that documents are not held up in the Approvals Process, it is important that all approvers understand the necessity of reviewing documents awaiting approval in a regular and timely manner. There are two major forms provided for the review of documents awaiting approval. One of these, the Approvals Notification Form (FOIAINP) is a prompting form. When you first log onto Banner it will display automatically when you access any other Banner Finance form if you are an approver and if there are unapproved documents awaiting your approval. FOIAINP will list the types and number of documents awaiting your approval. You may use the User Approval Form (FOAUAPP) to access the documents awaiting your approval.

#### Banner form

The User Approval Form (FOAUAPP) is the form used for the actual approval of documents (as will be discussed later), but it is also the most versatile and useful form for querying the status of unapproved documents.

User Approval FOAUAPP 7.0 (C700)

User ID:   Document:   Next Approver

NSF	Document Type	Document Number	Change Sequence	Submission	Originating User	Document Amount	Queue Type	Next Approver
<input type="checkbox"/>	REQ	R0000056	<input type="checkbox"/>	<input type="checkbox"/>	FAISUSR	950.00	DOC	<input type="checkbox"/>
Approve: <input checked="" type="checkbox"/>		Disapprove:		Detail:	Queue:			
<input type="checkbox"/>	REQ	R0000057	<input type="checkbox"/>	<input type="checkbox"/>	FAISUSR	1,250.00	DOC	<input type="checkbox"/>
Approve: <input checked="" type="checkbox"/>		Disapprove:		Detail:	Queue:			
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>
Approve: <input checked="" type="checkbox"/>		Disapprove:		Detail:	Queue:			
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>
Approve: <input checked="" type="checkbox"/>		Disapprove:		Detail:	Queue:			
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>
Approve: <input checked="" type="checkbox"/>		Disapprove:		Detail:	Queue:			



## Section C: Day-to-Day Operations

### Lesson: Determining If Documents are Awaiting Your Approval (Continued)

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#### Procedure

Follow these steps to complete the process.

Step	Action
1	Access the Approvals Notification Form (FOIAINP).
2	Click <u>User Approval</u> from the <b>Options</b> menu to access the User Approval Form (FOAUAPP).  <u>Note:</u> The <b>User ID</b> field defaults with the ID that you used to log into the system.
3	Perform a <b>Next Block</b> function.
4	If your User ID is not listed on one of the Approval Queues created, then no documents will be displayed.
5	Click the <b>Rollback</b> icon.
6	Delete your ID from the <b>User ID</b> field.
7	Perform a <b>Next Block</b> function.  <u>Note:</u> You will now see ALL of the documents that are currently awaiting approval.

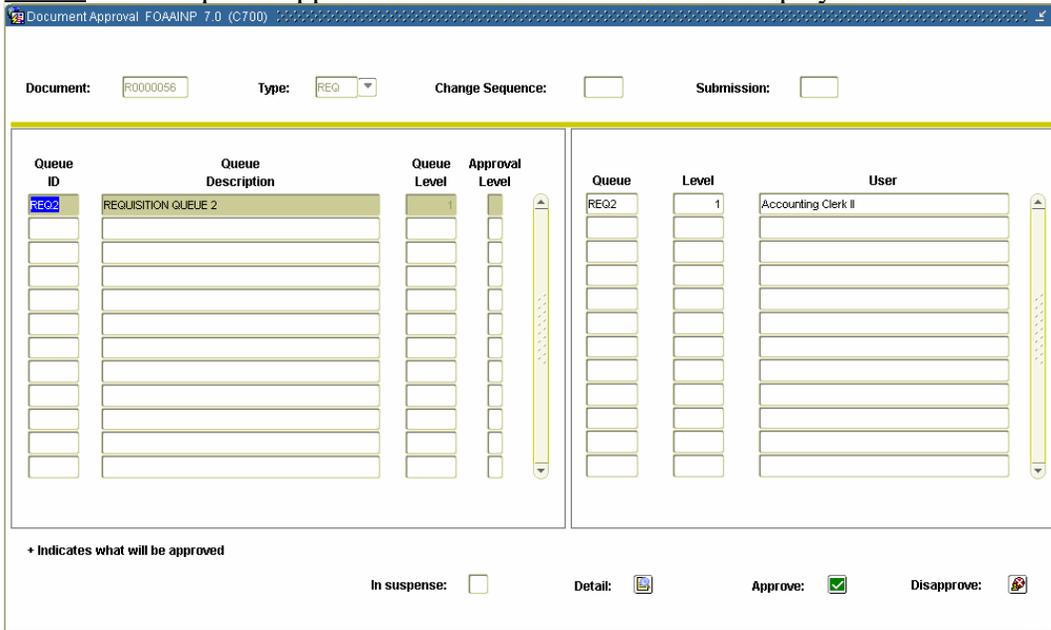


## Section C: Day-to-Day Operations

### Lesson: Determining If Documents are Awaiting Your Approval (Continued)

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#### Procedure, continued

Step	Action
8	<p>Choose a document and click on the <b>Queue</b> button to determine whose approval a particular document is awaiting,</p> <p><u>Note:</u> You will access the Document Approval Form (FOAAINP).</p>
9	<p>Perform a <b>Next Block</b> function.</p> <p><u>Result:</u> The required approvals for this document will be displayed.</p>  <p>The screenshot shows the Document Approval Form (FOAAINP) interface. At the top, there are fields for Document (R0000056), Type (REQ), Change Sequence, and Submission. Below this is a table with columns for Queue ID, Queue Description, Queue Level, and Approval Level. The first row is highlighted in blue and shows 'REQ2' for Queue ID, 'REQUISITION QUEUE 2' for Queue Description, and '1' for both Queue Level and Approval Level. To the right of this table is another table with columns for Queue, Level, and User. The first row shows 'REQ2' for Queue, '1' for Level, and 'Accounting Clerk II' for User. At the bottom of the screenshot, there are buttons for 'In suspense', 'Detail', 'Approve', and 'Disapprove', along with a note: '+ Indicates what will be approved'.</p>
10	<p>Click the <b>Exit</b> icon.</p> <p><u>Note:</u> You'll be returned to the User Approval Form (FOAUAPP).</p>
11	Perform an <b>Enter Query</b> function.
12	In the <b>Originating User</b> field, enter your user ID.
13	Perform an <b>Execute Query</b> function.
	<u>Note:</u> The three requisitions you created should be listed.
14	Click the <b>Exit</b> icon.



## Section C: Day-to-Day Operations

### Lesson: Approving a Document

◀ Jump to TOC

#### Introduction

The User Approval Form (FOAUAPP) enables you to approve or disapprove a document, view a document's detail, and view all the queues/levels responsible for approving the document.

#### Banner form

NSF	Document Type	Document Number	Change Sequence	Submission	Originating User	Document Amount	Queue Type	Next Approver
<input type="checkbox"/>	REQ	R0000056	<input type="checkbox"/>	<input type="checkbox"/>	FAISUSR	850.00	DOC	<input type="checkbox"/>
Approve: <input checked="" type="checkbox"/>		Disapprove:		Detail:	Queue:			
<input type="checkbox"/>	REQ	R0000057	<input type="checkbox"/>	<input type="checkbox"/>	FAISUSR	1,250.00	DOC	<input type="checkbox"/>
Approve: <input checked="" type="checkbox"/>		Disapprove:		Detail:	Queue:			
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>
Approve: <input checked="" type="checkbox"/>		Disapprove:		Detail:	Queue:			
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>
Approve: <input checked="" type="checkbox"/>		Disapprove:		Detail:	Queue:			
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>
Approve: <input checked="" type="checkbox"/>		Disapprove:		Detail:	Queue:			

Note: The **Originator** displayed in FOAUAPP will be the user who last completed the document.



## Section C: Day-to-Day Operations

### Lesson: Approving a Document (Continued)

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#### Procedure

This procedure will display the explicit approval process that takes place when a document is approved.

Note: If you can approve the document's total dollar amount, after you approve it, Banner removes it from the approval queue and moves it to its next processing stage.

If you cannot approve the document's total amount, Banner moves the document to the next user in the queue who can review and approve it.

Step	Action
1	Access the User Approval Form (FOAUAPP).  <u>Note:</u> Notice that your ID will default into the <b>User ID</b> field. With no ID in the User ID field, this form displays all unapproved documents. Even if you are not an approver, you can perform any of the functions provided by this form except for <b>Approval</b> or <b>Disapproval</b> .
2	Perform a <b>Next Block</b> function.  <u>Note:</u> Documents will display only if your approval is required (if your ID was entered as an approver for the REQ1 or REQ2 queues in FTMAPAQ). If not, then nothing will display.
3	Use the vertical scroll bar to scroll through the list of documents that need to be approved.
4	If you are an approver, click the <b>Details</b> icon.  <u>Result:</u> Accounting information regarding this document is presented.
5	If you are an approver, find a requisition and approve it by clicking the <b>Approval</b> icon.  <u>Result:</u> A pop up window will appear with the message stating that the document is approved.
6	Click the <b>OK</b> button.  <u>Result:</u> The document has been approved and the FORAPPL process needs to be run before the document will go to the next approver or go to posting process if the dollar amount of the req was under this approvers limit.



## Section C: Day-to-Day Operations

### Lesson: Approving a Document (Continued)

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#### Procedure, continued

Step	Action
7	<p>If you are an approver, find a requisition and disapprove it by clicking the <b>Disapprove</b> icon.</p> <p><u>Result:</u> A pop up window will appear with the message stating that the document is disapproved.</p>
8	<p>Type an explanatory message in addition to the original message as to why the document was disapproved.</p> <p><u>Note:</u> This message will be forwarded to the originator of the document using the Banner mail function, and to any previous approvers of the document.</p>
9	<p>Click the <b>OK</b> button.</p> <p><u>Result:</u> Note the document has been disapproved and the FORAPPL process needs to be run before the document is available for correction by the originator.</p>
10	<p>Click the <b>Exit</b> icon.</p>



## Section C: Day-to-Day Operations

### Lesson: Working with NSF Checking and Approvals

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#### Introduction

The NSF checking feature of Banner performs differently when you implement the Approvals process. Remember that there are three key places where you control how you want Banner to perform its NSF review of your documents.

- In the System Control Form (FOASYSC) you can specify, by document type, that you want the system to review budget balances for each document processed.
- In the Chart of Accounts Maintenance Form (FTMCOAS), you designate whether NSF conditions are to be treated with a simple warning alone (*W*), or will generate an error that requires manual override (*E*).
- In the User Profile Form (FOMPROF) you give each user authority (or not) to override NSF conditions.

If your NSF setting is for warning alone, then a document that exceeds budget will generate a warning message, but, whether you are running the approvals process or not, there are no further processing consequences (for example, the document can be completed and posted and will take its budget line into the red).

On the other hand, if your NSF setting is for an error there is a difference between what will happen with Approvals off versus with Approvals on. In the first case, the user will not be able to complete the document unless they have NSF override authority in FOMPROF. In the latter case, any user can complete an NSF document, since it will be forwarded to the Approvals process. The NSF condition must be overridden, however, by any one of its approvers (someone who has NSF override authority in FOMPROF). If it is not, the document will be forwarded after all other approvals have been obtained, to the “NSF” queue.

**Note:** You must assign personnel to the “NSF” queue. Use the FTMAPPQ form and the **Queue ID** “NSF.” No routing is necessary for this queue. Documents will only end up in this queue if no one overrides the NSF condition during the normal approvals process.



## Section C: Day-to-Day Operations

### Lesson: Working with NSF Checking and Approvals (Continued)

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#### Banner form

#### Chart of Accounts Maintenance Form (FTMCOAS)

Chart of Accounts Code Maintenance FTMCOAS 7.0 (C700)

Chart of Accounts:   Active Status Last Activity Date:

Chart of Accounts Title:

Effective Date: 27-DEC-2004 Termination Date:  Next Change Date:

Method of Accounting: A Fiscal Year:  /  -  /

Interfund Due To Account:

Interfund Due From Account:

Require Sets of Attribute Types: Fund  Organization  Account  Program  Activity  Location

**Budget Control Keys**

Fund:

Organization:

Account:

Program:

Control Period:

Control Severity:

Encumbrance or Budget:

#### Procedure

In this exercise, you will set your NSF checking in FTMCOAS to 'E'rror. Follow these steps to complete the process.

Step	Action
1	Access the Chart of Accounts Maintenance Form (FTMCOAS).
2	Perform an <b>Enter Query</b> function.
3	Enter <i>B</i> in the <b>Chart of Accounts Code</b> field.
4	Perform an <b>Execute Query</b> function.
5	Perform an <b>Insert Record</b> function.
6	Perform a <b>Duplicate Record</b> function.
7	Enter the current date in the <b>Effective</b> field.
8	Tab to the <b>Control Severity</b> field.
9	If the setting is currently <i>W</i> , enter <i>E</i> (if it is already <i>E</i> , leave it as is).
10	Click the <b>Save</b> icon.
11	Click the <b>Exit</b> icon.



## Section C: Day-to-Day Operations

### Lesson: Working with NSF Checking and Approvals (Continued)

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#### Discussion

In order to examine NSF Checking with Approvals, it is necessary to generate some requisitions with an NSF condition. Use the Requisition Form (FPAREQN) to create requisitions. The requisition will generate an NSF error if the FOAPAL used is one that has no budget (or less than the amount of the requisition) in the “Available Budget” column of the Budget Query Form (FGIBDST).

Note: NSF checking is particularly important in Banner, because, in addition to checking for exceeded budgets, the NSF checking warns of invalid FOAPAL combinations.

Requisition FPAREQN 7.0 (C700)

Requisition:  ▼ 



## Section C: Day-to-Day Operations

### Lesson: Working with NSF Checking and Approvals (Continued)

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#### Procedure

Each person should enter at least two requisitions. As before, the fund and organization should correspond to those on our approval queues.

Step	Action
1	Access the Requisition Form (FPAREQN).
2	Enter <i>Next</i> in the <b>Requisition</b> field.
3	Perform a <b>Next Block</b> function.
4	Change the order date in the <b>Order Date</b> field if the current date is not accurate.
5	Change the transaction date in the <b>Transaction Date</b> field if the current date is not accurate.
6	Enter a delivery date in the <b>Delivery Date</b> field.  <u>Note:</u> It must be equal to or greater than the order date.
7	Enter the requestor in the <b>Requestor</b> field.  <u>Note:</u> If set up, your FOMPROF settings will default.
8	Enter <i>B</i> in the <b>COA</b> field.
9	Enter <i>11001</i> in the <b>Organization</b> field.
10	Click the <b>Search</b> icon, and enter a shipping address in the <b>Ship To</b> field.  <u>Note:</u> When you select a shipping address the <b>Address, Phone, Contact, and Attention</b> fields will be filled in. If set up, the values will default from FOMPROF.
11	Select the <u>Vendor Information</u> tab.
12	Select a vendor in the <b>Vendor</b> field.  <u>Note:</u> Once a vendor is selected, the remaining fields will be filled in for you, if the <b>Procurement</b> address exists for the vendor. If you need to create a vendor or add address information for the vendor, use the Vendor Maintenance Form (FTMVEND).
13	Select the <u>Commodity/Accounting</u> tab.
14	Enter a commodity in the <b>Commodity</b> field.
15	Select a unit of measure in the <b>U/M</b> field. In this exercise select <i>EA</i> .



## Section C: Day-to-Day Operations

### Lesson: Working with NSF Checking and Approvals (Continued)

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#### Procedure, continued

Step	Action
16	Tab to the <b>Quantity</b> field and enter in <i>1</i> for the quantity of items to be requested.
17	Tab to the <b>Unit Price</b> field and enter in \$950 for the unit price of this commodity.
18	Tab to the <b>Commodity</b> field.
19	Perform a <b>Next Block</b> function.
20	Enter <i>B</i> in the <b>COA</b> field.
21	<u>Note:</u> Fiscal year will default in based on the transaction date.
22	Enter <i>1110</i> in the <b>Fund</b> field.
23	Enter <i>11001</i> in the <b>Orgn</b> field.
24	Enter <i>7210</i> in the <b>Acct</b> field.
25	Enter <i>10</i> in the <b>Prog</b> field.
26	Go to the <b>USD extended</b> field.
27	Enter <i>950</i> .
28	Select the <u>Balancing/Completion</u> tab.  <u>Note:</u> You should receive a message telling you that the 'Budget is Exceeded.'
29	Review the Header, Commodity, and Accounting amounts.
30	If these amounts are in balance, click the <b>Complete</b> button.
31	Note the message in the lower left-hand corner of your screen. This message should note that your requisition has been " <i>forwarded to the Approval Process.</i> "  <u>Note:</u> Make a note of this and the following requisition numbers. You want to track the progress of this document through the Approvals process.
32	Click the <b>Rollback</b> icon.
33	Repeat Steps 2-30 to create another requisition, but change the organization to 11001 and make the amount of the requisition \$16,000.
34	Click the <b>Exit</b> icon.



## Section C: Day-to-Day Operations

### Lesson: Viewing and Overriding NSF Documents

◀ Jump to TOC

#### Introduction

In the last procedure, you created requisition records that generated an NSF error. In order to see how the Approvals process handles these requisitions, you must first rerun this process (FORAPPL). Then you can use the User Approval Form (FOAUAPP) to review these documents and override their NSF conditions. In FOAUAPP, NSF documents are approved in two steps.

- First you must override the NSF condition, using the **Detail** button.
- Secondly, you must approve the document, using the **Approval** button.

As mentioned previously, if the NSF condition is not overridden, the document will be forwarded to the “NSF” queue. When a document has been forwarded to the “NSF” queue it must be approved by someone listed as an approver for that queue, in FTMAPPQ. The document will be approved in the manner described above, with an override of the NSF condition and then with approval.

Note: The **Next Approver** switch at the top of the FOAUAPP form permits an approver to limit the displayed documents to those for which he/she is the next needed approver. This permits a “high-level” approver to ignore documents until they’ve received all necessary lower-level approvals.



## Section C: Day-to-Day Operations

### Lesson: Viewing and Overriding NSF Documents (Continued)

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#### Banner form

#### User Approval Form (FOAUAPP)

#### Procedure

In this exercise you will override the NSF condition for one of your Requisitions in FOAUAPP. You will Approve the other document, but without overriding the NSF error. This document will be forwarded to the NSF queue. Follow these steps to complete the process.

Step	Action
1	Run the Approvals Process (FORAPPL). Ensure that the requisitions you entered previously have been assigned to approval queues.
2	Access the User Approval Form (FOAUAPP).
3	If you are an approver, enter your user ID in the <b>User ID</b> field. (Otherwise, leave this field blank).  <i>Note:</i> A <b>Y (Yes)</b> displays in the <b>NSF</b> field if this document is over budget. A <b>Y (Yes)</b> displays in the <b>Next Approver</b> field if you are the next person to approve the document.
4	Perform a <b>Next Block</b> function.



## Section C: Day-to-Day Operations

### Lesson: Viewing and Overriding NSF Documents (Continued)

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#### Procedure, continued

Step	Action
5	Find one of the requisitions you entered previously. Is the <b>NSF</b> field showing a <i>Y</i> ?
6	Click the <b>Detail</b> button.
7	Click the <b>NSF Override</b> checkbox so that a check mark appears.
8	Click the <b>Save</b> icon.  <u>Result:</u> The <b>NSF</b> box should change from <i>Y</i> to <i>N</i> .  <u>Warning:</u> You will not be allowed to make this change unless you have NSF override authority on your User Profile in FOMPROF.
9	Click the <b>Exit</b> icon.  <u>Result:</u> You will return to FOAUAPP.
10	Click the <b>Approval</b> button.
11	Make sure that any other user who is required to approve this document also approves it (only one user needs to perform the NSF override).  <u>Result:</u> You have overridden the NSF condition and approved this document.
12	Move to the other requisition you entered previously. Is this one also showing a <i>Y</i> in the <b>NSF</b> field?
13	Click on the <b>Approval</b> button.
14	Make sure that any other user who is required to approve this document also approves it (don't have anyone perform an NSF override, however).
15	Click the <b>Exit</b> icon to exit the FOAUAPP form.
16	Rerun the Approvals Process (FORAPPL) as you did in Step 1.
17	Return to the User Approval Form (FOAUAPP).
18	If you are an approver, enter your user ID in the <b>User ID</b> field. (Otherwise, leave this field blank).  <u>Note:</u> A <i>Y</i> (Yes) displays in the <b>NSF</b> field if this document is over budget. A <i>Y</i> (Yes) displays in the <b>Next Approver</b> field if you are the next person to approve the document.



## Section C: Day-to-Day Operations

### Lesson: Viewing and Overriding NSF Documents (Continued)

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#### Procedure, continued

Step	Action
19	Perform a <b>Next Block</b> function.  <u>Result:</u> Notice that the first of your requisitions is no longer awaiting approval. The second, however, will still display, although ALL of its approvers have approved it.
20	Review the document using the <b>Queue</b> button.  <u>Result:</u> Your second document is now in the “NSF” queue.
21	Have someone with the authority override the NSF for this second document and approve it.  <u>Note:</u> It must now be approved by someone assigned to the NSF queue in FTMAPPQ.
22	Rerun the Approvals Process (FORAPPL).
23	Return to the User Approval Form (FOAUAPP).
24	Verify the second document is updated and clears from the approvals.





## Section C: Day-to-Day Operations

### Lesson: Summary

◀ [Jump to TOC](#)

#### Let's review

As a result of completing this workbook, you have

- created requisitions for approval and run the approvals process
- routed documents to specific users based upon the approval queues
- determined if documents are awaiting your approval and approved them if necessary
- worked with NSF checking and approvals
- displayed approval history for a document.

#### Next step

This course examined only one document to be approved – requisitions. The next step would be to turn on approvals for other documents, such as Journal Vouchers, you know how to process and see how they are impacted. Also, the approval process should be tested between implicit and explicit approvals.



## Section C: Day-to-Day Operations

### Lesson: Self Check

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#### **Directions**

Use the information you have learned in this workbook to complete this self check activity.

#### **Question 1**

List the different ways in which you can route documents.

#### **Question 2**

Both of our queues specify a fund of 1110. What will happen to a document with a different fund?

#### **Question 3**

Is it possible to require approvals for some requisitions, but not all requisitions?

#### **Question 4**

Will the Requisition with a total amount under the Queue Limit for REQ1 be routed to REQ2?

#### **Question 5**

If a Requisition has multiple FOAPAL elements and these correspond to the routing on different Approval Queues, which queue will it be assigned to?

#### **Question 6**

Name at least one reason that a document might be “rejected” (unable to be assigned to an approval queue) by the approval process.

#### **Question 7**

The Approvals Process has to be manually run for every completed document.  
True or False?

#### **Question 8**

If a document is “rejected” by the Approvals Process, what can be done to fix it?

#### **Question 9**

How is a user notified by the system that he/she has a document waiting to be approved?



## Section C: Day-to-Day Operations

### Lesson: Self Check (Continued)

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#### Question 10

When will documents display in FOAUAPP under your user ID?

#### Question 11

What happens to a document if an approver “disapproves” it?

#### Question 12

A higher-level approver within a queue CAN pre-empt a lower-level approver (that is, bypass their approval). Approvers on separate queues CANNOT pre-empt one another.

True or False?

#### Question 13

Will the “NSF” queue automatically be included in the approvals for any document that has an NSF status?

#### Question 14

Banner’s Chart of Accounts allows you to define funds, organizations, and accounts separately. How is it possible to ensure that users use these codes only in the intended combinations?

#### Question 15

If you completed a Requisition and now want to make changes, what can you do to retrieve the record?

#### Question 16

What is the purpose of the Next Approver switch in the Key Block of the FOAUAPP form?

#### Question 17

Identify the information that is displayed when a document is highlighted on the Document Approval History Form.



## Section C: Day-to-Day Operations

### Lesson: Answer Key for Self Check

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#### Question 1

List the different ways in which you can route documents.

**By Document Type, Rule Group, Chart of Accounts and FOAPAL.**

#### Question 2

Both of our queues specify a fund of 1110. What will happen to a document with a different fund?

**The FORAPPL process will be unable to find a place for it, and will produce an error.**

#### Question 3

Is it possible to require approvals for some requisitions, but not all requisitions?

**No. Once approvals are turned on for requisition, then all requisitions require approvals.**

#### Question 4

Will the Requisition with a total amount under the Queue Limit for REQ1 be routed to REQ2?

**No. A document under the Queue Limit will require no further approval.**

#### Question 5

If a Requisition has multiple FOAPAL elements and these correspond to the routing on different Approval Queues, which queue will it be assigned to?

**All of them.**

#### Question 6

Name at least one reason that a document might be “rejected” (unable to be assigned to an approval queue) by the approval process.

**The FOAPAL of the document can't be matched to the routing on any Queue in FTMAPPQ. Also, if the document amount exceeds the Queue Limits.**



## Section C: Day-to-Day Operations

### Lesson: Answer Key for Self Check (Continued)

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#### Question 7

The Approvals Process has to be manually run for every completed document.

**True or False. The Approvals Process (FORAPPL) will be set up to run in background (sleep/wake).**

#### Question 8

If a document is “rejected” by the Approvals Process, what can be done to fix it?

**The Queue can be corrected, in FTMAPPQ or FOMAQRC, and then the FORAPPL process can be rerun.**

#### Question 9

How is a user notified by the system that he/she has a document waiting to be approved?

**When you first log onto Banner the Approvals Notification Form, FOIAINP, displays automatically after you request any of the Banner Finance forms, or one may go to FOAUAPP.**

#### Question 10

When will documents display in FOAUAPP under your user ID?

**Only when your user ID is listed in FTMAPPQ as an approver, and when documents with a FOAPAL routed to your queue in FOMAQRC exist.**

#### Question 11

What happens to a document if an approver “disapproves” it?

**The document is returned to an incomplete status. A disapproval message is returned to the originator of the document and to any previous approver of the document.**

#### Question 12

A higher-level approver within a queue CAN pre-empt a lower-level approver (that is, bypass their approval). Approvers on separate queues CANNOT pre-empt one another.

**True or False**



## Section C: Day-to-Day Operations

### Lesson: Answer Key for Self Check (Continued)

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#### Question 13

Will the “NSF” queue automatically be included in the approvals for any document that has an NSF status?

**No. Documents will only reach the “NSF” queue if none of the regular approvers override the NSF condition.**

#### Question 14

Banner’s Chart of Accounts allows you to define funds, organizations and accounts separately. How is it possible to ensure that users use these codes only in the intended combinations?

**NSF checking will alert you to invalid COA combinations (since these will be unbudgeted).**

#### Question 15

If you completed a Requisition and now want to make changes, what can you do to retrieve the record?

**You can request that an approver disapprove your document or go to FOADOCU and disapprove your own document. This will return the document to an incomplete status, permitting changes.**

#### Question 16

What is the purpose of the Next Approver switch in the Key Block of the FOAUAPP form?

**This switch permits a high-level approver to limit the displayed documents to those that have already received any prior necessary approvals.**

#### Question 17

Identify the information that is displayed when a document is highlighted on the Document Approval History Form.

**When a document is highlighted, Banner displays the queues and approval levels and approvers’ names that approved each document in the area on the right.**



## Section D: Reference

### Lesson: Overview

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#### **Introduction**

The purpose of this section is to provide reference materials related to the workbook.

#### **Section contents**

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## Section D: Reference

### Lesson: Backup Approvers Set Up 1

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#### Scenario 1

Many times a queue will only have one person in a department as the approver. Someone in the department, or if no one is appropriate in the department, someone in the finance office then needs to be set up as a backup approver for when the approver is unavailable. This scenario shows the set up for a back up approver in the simplest case where the Approver will be notified of documents for approval but the backup approver will not.

#### Queue Set Up

Username	Approval Limit	
Approver 1	9,999,999,999.99	
Backup Approver	9,999,999,999.99	
Queue Level	Username	Amount
10	Approver 1	0.00
20	Approver 1	9,999,999,999.99
20	Backup Approver	9,999,999,999.99



## Section D: Reference

### Lesson: Backup Approvers Set Up 2

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#### Scenario 2

In this scenario, the first approver will approve all documents. If the value exceeds \$1,000, the document will also require approval of the second approver. If the value exceeds \$25,000, the document will also require approval of the third approver, who has unlimited authority to approve. The Backup approver also has unlimited authority to approve and can exercise that authority for any approver in the queue.

#### Queue Set Up

Username	Approval Limit	
Approver 1	1,000.00	
Approver 2	25,000.00	
Approver 3	9,999,999,999.99	
Backup Approver	9,999,999,999.99	
Queue Level	Username	Amount
10	Approver 1	0.00
20	Approver 1	1,000.00
20	Backup Approver	1,000.00
30	Approver 2	0.00
40	Approver 2	25,000.00
40	Backup Approver	25,000.00
50	Approver 3	0.00
50	Approver 3	9,999,999,999.99
50	Backup Approver	9,999,999,999.99



## Section D: Reference

### Lesson: Backup Approvers Set Up 3

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#### Scenario 3

In this scenario, all approvers can give final approval for documents within their dollar amount authority. The Backup approver also has unlimited authority to approve but will not be informed of documents for approval by other approvers.

#### Queue Set Up

Username	Approval Limit	
Approver 1	1,000.00	
Approver 2	25,000.00	
Approver 3	9,999,999,999.99	
Backup Approver	9,999,999,999.99	
Queue Level	Username	Amount
10	Approver 1	0.00
20	Approver 1	1,000.00
20	Approver 2	1,000.00
20	Approver 3	1,000.00
20	Backup Approver	1,000.00
30	Approver 2	0.00
40	Approver 2	25,000.00
40	Approver 3	25,000.00
40	Backup Approver	25,000.00
50	Approver 3	0.00
50	Approver 3	9,999,999,999.99
50	Backup Approver	9,999,999,999.99



## Section D: Reference

### Lesson: Setup Forms and Where Used

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#### Guide

Use this table as a guide to the setup forms and the day-to-day forms that use them.

Setup Form		Day-to-Day Form(s)	
Form Name	Code	Form Name	Code
User Approval Form	FOAUAPP	Requisition Form	FPAREQN
Document Approval Form	FOAAINP	Requisition Form	FPAREQN
Approvals Notification Form	FOIAINP	Requisition Form	FPAREQN
Document Approval History Form	FOIAPPH	Requisition Form	FPAREQN
Approval History Form	FOIAPHT	Requisition Form	FPAREQN
Approval Queue Routing Codes Form	FOMAQRC	Requisition Form	FPAREQN
Approval Queue Maintenance Form	FTMAPPQ	Requisition Form	FPAREQN
Finance System Control	FOASYSC	Requisition Form	FPAREQN



## Section D: Reference

### Lesson: Day-to-Day Forms and Setup Needed

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#### Guide

Use this table as a guide to the day-to-day forms and the setup forms needed for each.

<b>Day-to-Day Form</b>	<b>Setup Forms Needed</b>
Requisition Form (FPAREQN)	<ul style="list-style-type: none"><li>• User Approval Form (FOAUAPP)</li><li>• Document Approval Form (FOAAINP)</li><li>• Approvals Notification Form (FOIAINP)</li><li>• Document Approval History Form (FOIAPPH)</li><li>• Approval History Form (FOIAPHT)</li><li>• Approval Queue Routing Codes Form (FOMAQRC)</li><li>• Approval Queue Maintenance Form (FTMAPPQ)</li><li>• Finance System Control (FOASYSC)</li></ul>
User Approval Form (FOAUAPP)	Requisition Form (FPAREQN)
Approvals Notification Form (FOIAINP)	Requisition Form (FPAREQN)
Document Approval History Form (FOIAPPH)	Requisition Form (FPAREQN)



## Section D: Reference

### Lesson: Forms Job Aid

◀ [Jump to TOC](#)

#### Guide

Use this table as a guide to the forms used in this workbook. The Owner column may be used as a way to designate the individual(s) responsible for maintaining a form.

<b>Form Name</b>	<b>Form Description</b>	<b>Owner</b>
FOAUAPP	User Approval Form	
FOAAINP	Document Approval Form	
FOIAINP	Approvals Notification Form	
FOIAPPH	Document Approval History Form	
FOIAPHT	Approval History Form	
FOMAQRC	Approval Queue Routing Codes Form	
FTMAPPQ	Approval Queue Maintenance Form	



## Release Date

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This workbook was last updated on 10/16/2007.