



Chart of Accounts Maintenance SOP: Chart of Accounts, Account Delegate

SOP Owner: Chart Manager, General Accounting

Version Number, Date Revised: #1, 03/06/11

Date Implemented:

Approval(s):

Standard Operating Procedure

1. Purpose

The Account Delegate e-doc is used to

- establish new Account Delegates, or
- to copy or edit existing Account Delegates.

Account Delegates are KFS users that, under certain circumstances, are authorized to take workflow actions on an e-doc in the place of an account's Fiscal Officer (FO). An authorized delegate can take any action that is available to a Fiscal Officer, including the power to approve and disapprove transactions. **Note:** if the FO is set up as an org reviewer to ensure signature authority, delegation is not permitted (i.e., the delegate would not be able to approve for the FO).

Account delegation is specific to an account and an e-doc type and may also be limited based on the date and the dollar amount of the e-doc.

There are two types of delegates that can be established: primary and secondary.

Primary Delegate: e-docs route directly to a primary delegate's action list and do not automatically appear in the FO's action list. Delegation can be based on criteria; i.e., by account or dollar amount. Note: the FO can apply a special filter to their action list, allowing them to view the e-docs routing to the Primary Delegate.

Secondary Delegate: e-docs do not route directly to a Secondary Delegate's action list; instead, e-docs route to the FO's action list (or the Primary Delegate, if applicable). The Secondary Delegate must apply a special filter to their action list to see and take action on these e-docs.

Training Issue: if a FO has set up delegates, the FO still has the ability to take action on an e-doc in place of the delegate.

Account Delegate e-doc comes with global functionality. The global e-doc allows you to set up delegation for more than one delegation options. Note: the global e-doc **replaces** all existing delegation for an account—instead of updating the existing delegation.

2. Scope

The intended audience is:

- Anyone in a FTC
- Anyone with financial/budgetary responsibilities (at the college / division level and at a central level)
 - Budget director
 - Senior financial officer



- Central accounting

3. **Prerequisites** (Forms / Tools)

- Access to KFS
- Training on KFS
- Account e-doc tutorial
- Understanding when / why it is appropriate to set up delegation
- Clarification on permissions / roles

4. **University Policy**

Current

- 3.7 [Accounting: System Structure and Transactions](#)

5. **Responsibilities**

Personnel in the following roles / positions:

- Initiator
 - has financial expertise (i.e., has a financial role in his/her job title);
 - has access to the system;
 - has been authorized by the Senior Finance Group as an Initiator;
 - can validate that the new account delegate being set up (or current account delegate being modified) is appropriate per CU business rules;
 - has the ability to provide 100% of the data required to successfully fill out and submit the Account Delegate e-doc; and
 - is the person who will respond to any follow-up questions.
- Fiscal officer / delegate (delegates: both primary and secondary)

Best Practice recommendation: if additional review is deemed necessary, ad hoc route as appropriate.

6. **Procedure**



Lookup and Maintenance

Chart of Accounts

- [Account](#)
- [Account Global](#)
- [Account Delegate](#) ←
- [Account Delegate Global](#)
- [Account Delegate Model](#)
- [Account Delegate Global From Model](#)
- [Object Code](#)
- [Object Code Global](#)
- [Organization](#)
- [Organization Review](#)
- [Project Code](#)
- [Sub-Account](#)
- [Sub-Object Code](#)
- [Sub-Object Code Global](#)

Account Delegate e-doc is located on Main Menu:
Lookup and Maintenance section.

Figure 1 – Chart of Accounts, Lookup and Maintenance e-docs

The screenshot shows the Kualo financial systems interface. At the top, there is a navigation bar with 'Main Menu', 'Maintenance', and 'Administration' tabs. The 'Maintenance' tab is active. Below the navigation bar, there is a header area with 'action list' and 'doc search' buttons, and a 'Logged in User: rld46' indicator. The main content area is titled 'Account Delegate Lookup' and contains a form with the following fields:

- Chart Code:
- Account Number:
- Document Type Name:
- Account Delegate Principal Name:
- Account Delegate Active: Yes No Both

At the bottom of the form are 'search', 'clear', and 'cancel' buttons. A 'create new' button is located in the top right corner of the form area, highlighted with a red box. An arrow points from this button down towards the text below.

Figure 2 – Account Delegate Lookup (A tutorial demonstrating “Lookup” functionality is available.)

To edit an existing account delegate, use the lookup. To create a new account delegate, choose the **create new** button.



Account Delegate ?		Doc Nbr: 10001706	Status: INITIATED
		Initiator: rld46	Created: 11:31 AM 01/24/2011

[expand all](#) [collapse all](#)
* required field

Document Overview hide

* Description:	<input type="text"/>	Explanation:	<input type="text"/>
Org. Doc. #:	<input type="text"/>		

Edit Account Delegate hide

New

* Chart Code:	<input type="text"/>	<input type="text"/>
* Account Number:	<input type="text"/>	<input type="text"/>
* Document Type Name:	<input type="text"/>	<input type="text"/>
* Account Delegate Principal Name:	<input type="text"/>	<input type="text"/>
Approval From This Amount:	<input type="text"/>	
Approval To This Amount:	<input type="text"/>	
Account Delegate Primary Route:	<input type="checkbox"/>	
Account Delegate Active:	<input checked="" type="checkbox"/>	
* Account Delegate Start Date:	01/24/2011	<input type="text"/>

Notes and Attachments (0) show

Ad Hoc Recipients show

Route Log show

Figure 3 – Create new account delegate

To set up a new account delegate, enter the required information (as indicated in the fields marked by an *), and **submit**.



Account Delegate ? Backdoor Id rld46 is in use

Doc Nbr:	10001706	Status:	FINAL
Initiator:	rld46	Created:	11:31 AM 01/24/2011

[expand all](#) [collapse all](#) * required field

Document Overview ▼ hide

* Description:	Secondary delegate for vacation coverage	Explanation:	While primary delegate (N. Rawleigh) is on vacation
Org. Doc. #:			

Edit Account Delegate ▼ hide

New

Chart Code:	IT
Account Number:	2006609
Document Type Name:	TF
Account Delegate Principal Name:	sbj1 - Jackson, Stephen B
Approval From This Amount:	500.00
Approval To This Amount:	5,000.00
Account Delegate Primary Route:	Yes
Account Delegate Active:	Yes
Account Delegate Start Date:	01/24/2011

Notes and Attachments (0) ▶ show

Ad Hoc Recipients ▶ show

Route Log ▶ show

[send ad hoc request](#) [close](#)

Figure 4 – New Account Delegate example

Table 1 New Account Delegate: field definitions

Field Name	Description (* indicates a required field)
Chart Code	* Enter the chart code associated with the account number for which authority is being delegated, or search for it from the Chart lookup.
Account Number	* Enter the account number for which authority is being delegated, or search for it from the Account lookup.
Document Type Name	The applicable document type name. Account delegation is specific to a document type.
Account Delegate Principal Name	* Enter the NetID of the person to which authority is being delegated, or search for it from the lookup. <i>Best Practice recommendation:</i> This individual should not be the same person as the account supervisor.
Approval From This Amount	Enter the minimum dollar amount of a transaction for which the delegate is authorized. For example, if a delegate is established with a from amount of \$1,000, then a transaction for \$500 is not eligible for the delegate’s action. Note that not all KFS documents have a dollar amount associated with them. If both from Amount and to Amount are set to ‘0.00,’ then the delegate is authorized to take action on the designated document(s) without any dollar limit.
Approval To This Amount	Enter the maximum dollar amount of a transaction for which the delegate is authorized. For example, if a delegate is established with a to amount of \$1,000, a transaction for \$1,500 is not eligible for the delegate’s action. The value of zero in this field represents infinity. If



	both from Amount and to Amount are set to '0.00,' then the delegate is authorized to take action on the designated documents(s) without any dollar limit.
Account Delegate Primary Route	Select the check box if the delegate is to be set as a primary delegate who receives documents directly in their workflow action list. If this check box is not selected, it indicates the delegate is secondary and has to use a filter in their workflow action list to see documents they are authorized to approve
Account Delegate Active	Select the check box if the delegate is active and can take action on authorized documents. Clear the check box to deactivate an existing delegate.
Account Delegate Start Date	* Enter the date on which the delegation is to become effective.

To edit an account delegate, use the lookup to find the existing account delegate e-doc that you want to modify, then choose the **edit** option. (For example, you could limit the search results by searching for the account delegate NetID.)



Account Delegate Lookup ?

[create new](#)

* required field

Chart Code:	<input type="text"/>
Account Number:	<input type="text"/>
Document Type Name:	<input type="text"/>
Account Delegate Principal Name:	<input type="text" value="bss34"/>
Account Delegate Active:	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Both
<input type="button" value="search"/> <input type="button" value="clear"/> <input type="button" value="cancel"/>	

7 items retrieved, displaying all items.

Actions	View	Chart Code	Account Number	Document Type Name	Account Delegate Principal Name	Account Delegate Active	Approval From This Amount	Approval To This Amount	Account Delegate Primary Route	Account Delegate Start Date
edit copy	View Account Delegate	IT	2006609	TF	sbj1	Yes	500.00	5,000.00	Yes	01/24/2011
edit copy	View Account Delegate	IT	G251800	FP	nms32	Yes			Yes	01/25/2011
edit copy	View Account Delegate	IT	G253815	FP	nms32	Yes			Yes	01/25/2011
edit copy	View Account Delegate	IT	G253995	FP	nms32	Yes			Yes	01/25/2011

Figure 5 – Edit Account Delegate for NetID bss34

Choosing the **edit** option opens the Edit Account Delegate tab, which includes “Old” and “New” information. The fields on this tab are used to edit the Account Delegate role. (In the example, below, the **Approval From This Amount**, **Approval To This Amount**, and **Account Delegate Start Date** information was changed.



When the e-doc is submitted, updated information will be clearly marked by a: ✨.

Account Delegate ?

Doc Nbr: 10002034 Status: ENROUTE
Initiator: rld46 Created: 11:53 AM 02/06/2011

Document was successfully submitted. expand all collapse all * required field

Document Overview hide

Document Overview

* Description:	updated approval limits and start date	Explanation:
Org. Doc. #:		

Edit Account Delegate ✨ hide

Old	New
Chart Code: IT	Chart Code: IT
Account Number: G251800	Account Number: G251800
Document Type Name: FP	Document Type Name: FP
Account Delegate Principal Name: nms32 - Rawleigh, Nicole Meredith	Account Delegate Principal Name: nms32 - Rawleigh, Nicole Meredith
Approval From This Amount:	Approval From This Amount: 500.00 ✨
Approval To This Amount:	Approval To This Amount: 2,500.00 ✨
Account Delegate Primary Route: Yes	Account Delegate Primary Route: Yes
Account Delegate Active: Yes	Account Delegate Active: Yes
Account Delegate Start Date: 01/25/2011	Account Delegate Start Date: 02/06/2011 ✨

Notes and Attachments (0) show

Ad Hoc Recipients show

Route Log show

send ad hoc request reload close

Figure 6 – Edit Account Delegate example

Table 2 Edit Account Delegate tab: field definitions

Field Name	Description (* indicates a required field)
Chart Code	* Enter the chart code associated with the account number for which authority is being delegated or search for it from the Chart lookup.
Account Number	* Enter the account number for which authority is being delegated or search for it from the Account lookup.
Document Type Name	* Enter the document type code for the KFS transaction for which authority is being delegated, or search for it from the Document Type lookup. KFS e-docs are hierarchical. The higher on the e-doc type hierarchy the code is, the greater the access the user will have. For example, you might enter KFST (KFS transactional) and KFSM (KFS maintenance) to route all transactional and maintenance e-docs to a delegate.
Account Delegate Principal Name	* Enter the NetID of the person to which authority is being delegated, or search for it from the lookup. <i>Best Practice recommendation:</i> This individual should not be the same person as the account supervisor.



Approval From This Amount	Enter the minimum dollar amount of a transaction for which the delegate is authorized. For example, if a delegate is established with a from amount of \$1,000, then a transaction for \$500 is not eligible for the delegate’s action. Note that not all KFS documents have a dollar amount associated with them. If both from Amount and to Amount are set to ‘0.00,’ then the delegate is authorized to take action on the designated documents(s) without any dollar limit.
Approval To This Amount	Enter the maximum dollar amount of a transaction for which the delegate is authorized. For example, if a delegate is established with a to amount of \$1,000, a transaction for \$1,500 is not eligible for the delegate’s action. The value of zero in this field represents infinity. If both from Amount and to Amount are set to ‘0.00,’ then the delegate is authorized to take action on the designated documents(s) without any dollar limit.
Account Delegate Primary Route	Select the check box if the delegate is to be set as a primary delegate who receives documents directly in their workflow action list. If this check box is not selected, it indicates the delegate is secondary and has to use a filter in their workflow action list to see documents they are authorized to approve.
Account Delegate Active	Select the check box if the delegate is active and can take action on authorized documents. Clear the check box to deactivate an existing delegate.
Account Delegate Start Date	* Enter the date on which the delegation is to become effective.

Business Rules

- An Account Delegate e-doc establishing a Primary Delegate cannot be submitted if a Primary Delegate already exists for the account and e-doc type.
- Account Delegate Start Date must be greater than or equal to the current date.

Heading descriptions (for new account delegates and edited account delegates) should be written with KFS search functionality in mind. *Best Practice recommendation:* enter a description that is both concise and consistent.

The following descriptions demonstrate wording that could be used when modifying an account:

- Attached back-up documentation, or
- Changed primary delegate, or
- Changed secondary delegate for specific dates.

Document Overview, Notes and Attachments, Ad Hoc Recipients, and Route Log tabs are standard on most KFS e-docs; they are covered in the “Basics” series of tutorials.



Workflow

- Account Delegate e-doc routes for account level approval to the Fiscal Officer based on the account on the e-doc.

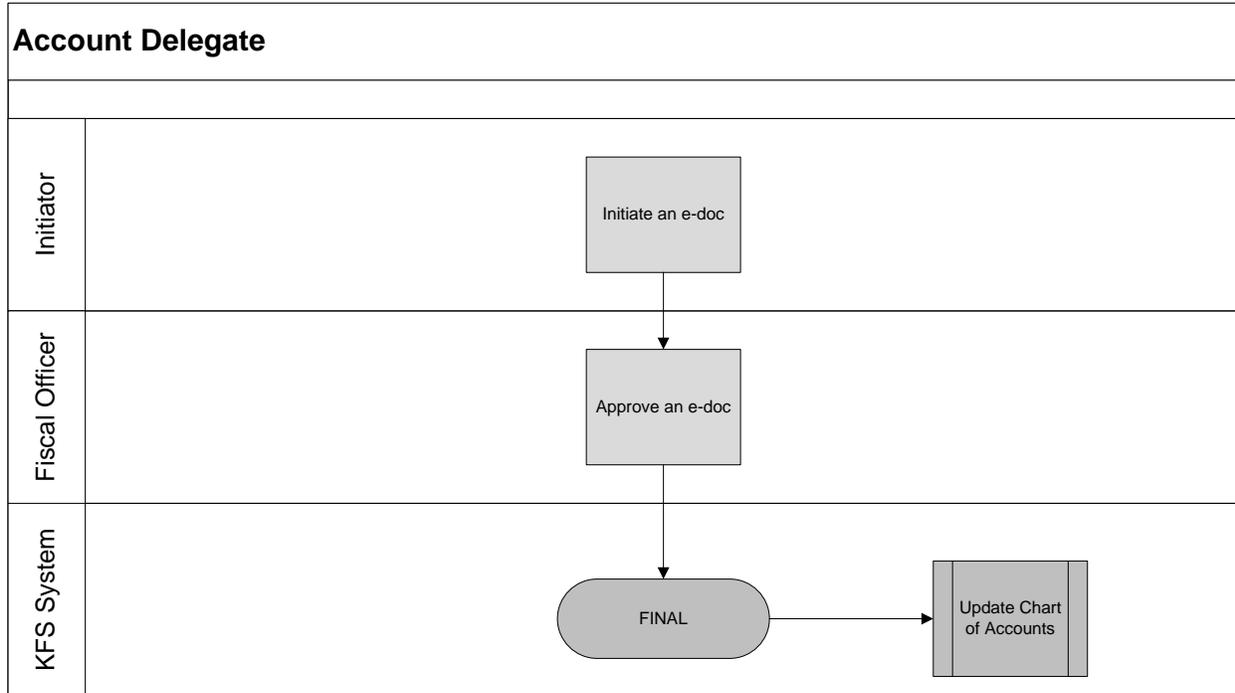


Figure 7 – Account Delegate e-doc workflow

7. Definitions

KFS at Cornell Glossary and KFS Acronym Glossary
COA Old World-New World (a comparison of Legacy / KFS)

8. References

KFS at CU: Chart of Accounts (includes valid values)
Account e-doc (tutorial)
Account Approve / Disapprove (tutorial)
KFS at CU: Chart of Accounts, Organizations