

PRINCIPLES AND GUIDELINES FOR *i*-ENABLER APPROVERS

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1. Purpose statement

This document on the principles and guidelines is intended to inform and develop best practice in the update, maintenance and management of 1st, 2nd and alternate approver *i-Enabler* systems access profiles within the University of KwaZulu-Natal.

2. Introduction and background

Transactional processing is now performed at a decentralized level at the College/Support Sectors. The online data input and approvals of requisitions at the College/Support Sectors necessitates a formal and structured framework for requestors and approvers using the *i-Enabler* system. Its adoption and implementation by means of strict authorization levels will enable Colleges/Support Divisions to strengthen system-related access and controls thereby creating a culture of good governance with benefits of risk mitigation.

3. Definition of terms

Account	Defines the nature and type of expense or income.
Alternate Approver	Person who is delegated the responsibility to officially sanction the requisition initiated by the requestor in the absence of the approver.
Approver	Person who is delegated the responsibility to officially sanction the requisition initiated by the requestor.
Budget Controller	Any person to whom control of the University budget or part thereof has been delegated.
Budget Holder	Any member of the Executive to whom any budget has been allocated in writing by the University.
College	A cluster of cognate schools in the academic sector.
College Dean of Research	Dean of Research of the cluster of cognate schools in the academic sector.
Cost Centre	Is an organizational department, division or function within a controlling area that represents a defined location of cost incurrence.
Cost Centre Owner	The person primarily responsible for the organizational department, division or function within a controlling area (eg. school/division) that represents a defined location of cost incurrence.

Finance <i>i</i> -Enabler System	The Finance <i>i</i> -Enabler system is a self-service application of the Integrated Tertiary Software (ITS) system providing staff with the functionality to create and approve purchase requisitions.
Human Resources Fixed Term <i>i</i> -Enabler Appointment System	The Human Resources Fixed-Term <i>i</i> -Enabler staff appointment system is a self-service application of the Integrated Tertiary Software (ITS) system providing College/Support Administrators with the functionality to initiate fixed-term staff appointments.
Main Fund Cost Centres	Is an organizational department, division or function within a controlling area that represents a defined location of cost incurrence. These are essentially the University's operational cost centres that are funded by means of government subsidy, tuition fees and other sundry income.
Requestor	Person who is responsible for initiating the electronic requisition.
Research Cost Centres	These are essentially research-related cost centres that are project-specific and funded by means external grants and/or publication awards.
School	The primary academic unit of the University to which financial and budgetary accountability and responsibility is devolved.
Specifically-Funded Cost Centres	These are project-specific and are within the support sector where funding is obtained by means of donations or specific external grants.

4. Scope

Unless otherwise stated, the principles and guidelines articulated in this document would apply to all Finance and Human Resource *i*-Enabler systems that are currently in use at the University. The principles and guidelines are premised on the parameters of the current system and do not take into consideration future enhancements. This document will be accordingly updated when systems enhancements are tested and implemented.

I-Enabler Constraints: It must be noted that requestors of requisitions/transactions etc. cannot be approvers and vice-versa.

5. Principles

5.1. The approver access profiles are limited to the budget controllers and budget holders who are responsible and accountable for the management and control of expenditure relative to all budgets within their designated areas of responsibility.

- 5.2. Approvers are categorized into 1st, 2nd and alternate 1st and 2nd level approvers. The maximum of three 1st, 2nd and alternate approvers will be permitted in the systems setup table of approvers.
- 5.3. The applicability of 1st and 2nd levels of approvals for requisitions when using the Finance *i*-Enabler system is contingent upon the financial limits set in the table below. The financial limits in the table below apply to the Finance *i*-Enabler system modules only. The two-tiered financial limits are implemented to ensure effective control of expenditure within the designated areas of responsibility and to streamline and manage system-related efficiencies.
- 5.4. The Human Resources fixed term *i*-Enabler appointment system compels both 1st and 2nd level approvals for every request for an appointment.
- 5.5. Where it relates to the Finance *i*-Enabler system, requests for approvals submitted to 1st and 2nd level approvers will, after 24 hours, be rerouted through an automated process to alternate 1st and 2nd level approvers respectively.
- 5.6. In exceptional circumstances only, alternate line managers of equivalent authority and status with delegated responsibilities will be permitted to approve transactions in the absence of the relevant line manager.
- 5.7. The “one-up” line manager principle must apply for the approval of transactions (eg. approval of ones own expense claims is not permitted and must be forwarded to the line manager for approval).

6. Guidelines

- 6.1. Changes made in relation to approvers must be done regularly during the year.
- 6.2. It is also necessary to review the accesses periodically to ensure the smooth running of the operations. It is the responsibility of the Director (College Professional Services)/Support Sector Director to ensure that accesses are reviewed and given effect to timeously.
- 6.3. Approvers are advised that where 1st, 2nd or alternate approvers are away on vacation, sabbatical, sick leave etc., prior arrangements for substitute approvers should be made with available approvers listed on the agreed-upon systems setup table.
- 6.4. In order to avoid delays in requisition approvals, approvers are required to access the *i*-Enabler system on a daily basis and approve outstanding requisitions. In addition, where requestors are aware of requisitions requiring approval, they are obliged to inform the relevant available approvers accordingly.

7. Implementation Procedures

- 7.1. Staff in the systems sections of both the Finance and Human Resources Divisions will train all approvers listed on the current system. Thereafter, the Financial Managers and Human Resources Strategic Partners will be required to facilitate training sessions for new approvers.
- 7.2. The turnaround time for updating system-related changes to requestors and approvers shall be one day provided that all changes are submitted by the School Managers/Support Sector Managers on the prescribed template duly authorized by the Director (College Professional Services)/Support Sector Director and copied to the Dean and Head of School or, in the case of the Support Sector, the respective Executive.
- 7.3. Requests to change approver setup on the system will be given effect to by the Systems Section of the Finance Division via Group email address (finance-systems@ukzn.ac.za). Request for changes forwarded to personal email addresses will not be attended to.

ANNEXURE A**APPROVERS AND AUTHORISATION LEVELS****COLLEGE SECTOR**

	COLLEGE MAIN FUND COST CENTRES	SCHOOL MAIN FUND COST CENTRES	RESEARCH COST CENTRES	FINANCIAL LIMITS
1ST LEVEL APPROVERS	COLLEGE BUDGET CONTROLLER	SCHOOL MANAGER	RESEARCHER/* COST CENTRE OWNERS	UP TO R 50 000
1ST LEVEL ALTERNATE APPROVERS	AS DESIGNATED BY THE BUDGET HOLDER	EQUIVALENT SCHOOL MANAGER WITHIN THE COLLEGE	RESEARCHER * (AS DESIGNATED BY DEAN AND HEAD OF SCHOOL IN CONSULTATION WITH RESEARCHER)	UP TO R 50 000
2ND LEVEL APPROVERS	COLLEGE BUDGET HOLDER (DEPUTY VICE-CHANCELLOR)	DEAN AND HEAD OF SCHOOL	DEAN AND HEAD OF SCHOOL	GREATER THAN R 50 000 BUT LESS THAN OR EQUAL TO R 250 000
2ND LEVEL ALTERNATE APPROVERS	AS DESIGNATED BY THE BUDGET HOLDER	EQUIVALENT DEAN AND HEAD OF SCHOOL WITHIN THE COLLEGE/DEPUTY VICE CHANCELLOR OF THE COLLEGE	COLLEGE DEAN OF RESEARCH*	GREATER THAN R 50 000 BUT LESS THAN OR EQUAL TO R 250 000

Note:

The financial limits are applicable to all Finance *i-Enabler* System modules only.

* Where permission has been granted to the researcher for *i-Enabler* approvals.

SUPPORT SECTOR

	MAIN FUND COST CENTRES	SPECIFICALLY - FUNDED COST CENTRES	FINANCIAL LIMITS
1ST LEVEL APPROVERS	BUDGET CONTROLLER	COST CENTRE OWNER	UP TO R 50 000
1ST LEVEL ALTERNATE APPROVERS	DESIGNATED BUDGET CONTROLLER	DESIGNATED BUDGET CONTROLLER	UP TO R 50 000
2ND LEVEL APPROVERS	DIRECTORS OR EQUIVALENT	IMMEDIATE LINE MANAGER	GREATER THAN R 50 000 BUT LESS THAN OR EQUAL TO R 250 000
2ND LEVEL ALTERNATE APPROVERS	EXECUTIVE MANAGER	EXECUTIVE MANAGER	GREATER THAN R 50 000 BUT LESS THAN OR EQUAL TO R 250 000

Note:

The financial limits are applicable to all Finance *i-Enabler* System modules only.

