

Business Process Design – Travel



THE UNIVERSITY OF ARIZONA

Financials Modernization

Date Created	Process Name	
9/23/2021	Travel Authorization, Expense Report, and Collections	
Version No.	Created By	
2.0		
Process No.	Process Owner	
AP-21, AP-22, AP-23		
Is this process unique to the University of Arizona? [Yes/No]		No
Operational Efficiencies candidate? [Yes/No]		Yes
Overview	To get a feel for what the overall business process is, why we are doing it, and why it is valuable.	
Description [High level overview of the process]	Process of authorizing travel, issuing a travel advance if required, reporting expense and reimbursements, and collecting monies advanced to a traveler that has not been used. Travel Advances are issued to University employees and graduate students only.	
Purpose [Why/How does this process benefit the organization]	Create an auditable record of travel and related expenses.	
Scope [Include both what is and is not in the process]	Travel authorization, travel expense reporting, and travel collections will be included. Business processes documented outside this process: Scanning AP-01, Disbursing Payment AP-10, 1099 Taxation AP-18, Employee Expense Reimbursements AP-12, Payment Method AP-02.	
Value [What objectives are accomplished]	The ability to maintain an auditable record of travel payments, expenses, and report on total travel expenses for each event.	
Roles and Responsibilities	Roles or teams within the flow of the business process.	
Role / Team	Responsibility	Department
Department/Traveler	Initiate travel, track/submit expenses.	Department

Fiscal Officer	Review approve/disapprove travel and related expenses.	Department
Accounts Payable	Review and approve/disapprove the travel advance or expenses and collections.	Financial Services

Resources	Reports, forms, trainings, other applications/systems used in the process.		
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Resource Type	Name	Description	Location / Link
Online Tutorial	Electronic Travel Authorization (Adobe Sign)	How to access, complete, and route a UA Travel Authorization (TA) form electronically.	
Online Tutorial	Travel Expense Report (TER) Guide	Instructions for filling out the UA Travel Expense Report (TER).	
Form	Travel Authorization	To authorize travel, identify trip/traveler information and exceptions.	
Form	Travel Expense Report	To finalize a trip and request partial expense reimbursement.	
Form	Travel Authorization Expense Worksheet (optional)	To estimate travel expenses.	
Online registry	Travel Registry (Terra Dotta)	Registry required for traveling outside of the US and its territories for official business.	

Process	Provide a detailed description of the current process.		
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Input [Identify the need required to initiate the process]	An employee or delegate requests travel authorization using a travel authorization form, if needed, a travel advance is processed. The traveler tracks and submits receipts for related expenses. AP-10.		
Output [Identify the results that must be achieved]	Traveler is assisted with out-of-pocket expenses, outstanding balances of travel advances are collected and reconciled.		
Exceptions to Routine Process Flow			

Points of Control [Identify gaps and/or risk areas in the process]		Paper forms, several documents to complete one travel event.				
Flow		• Event: What is the step or action taken? • Purpose: Why is this step necessary? • Owner: Who is the person (role) that executes the process? • Time: How long does this step in the process take? Is there a deadline? Is the event manual (M) or systematic (S)? • Requirements: How is this step accomplished and by what technology and/or dependencies? • Required Data: Include any data used as an input for the current process or output to another business process.				
#	Event	Purpose	Owner	Time	Requirements and Technology Used	Required Data (Input/Output)
1	Travel authorization is requested	Travel authorization form must be completed and approved.	Department	5 minutes (M)	Adobe Sign	Input: travel authorization form and Travel Registry if applicable
2	Travel advance is requested (if necessary) and funds are encumbered.	Disbursing Payment is used to create the advance.	Department	5 minutes (M)	Financials	Input: internal budget, prepaid expenses
3	Travel and expenses occur	Traveler tracks and submits travel related expenses for reporting/reconciliation.	Department	5 days (M)	Financials	Input: travel expense report. Itemized receipts and supporting documentation. Reporting for University.
4	Expenses are reimbursed	Out-of-pocket expenses are reimbursed.	Department	30 minutes (M)	Financials	Output: Reconciliation. AP-10, AP-02.
5	Travel collections	Collecting monies advanced, but not used.	Accounts Payable	30 minutes (M)	Financials	Output: Cash receipt transaction or Correction transaction created in UAccess Employee to collect funds to repay University.

Other Business Processes Called Within This Process	Process Name	Process No.	JIRA
	Scanning	AP-01	FINMOD-47
	Disbursing Payment	AP-10	FINMOD-42
	1099 Taxation	AP-18	FINMOD-41
	Employee Expense Reimbursement	AP-12	FINMOD-44

	Payment Method	AP-02	FINMOD-52
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Policies

Policy No.	Description
FSM 14.0	Travel

Interfaces

Name	Description

Operational Efficiencies

Comments
OE-16: Travel can be cumbersome with PDFs shifting hands, some electronic, some not, etc.; would be great to get set with making it more streamlined altogether and less fragmented. OE-34: Evaluate travel processes, including making them more efficient, more paperless, and mitigating costs by reducing travel in general -- Example: Needing TERs instead of simply in DVs is proving to be expending more time than needed and confusion with multiple docs for one transaction.

Measurements

Measurement Conventions	Metrics
How often is the functionality performed currently (i.e. daily, weekly, monthly, etc.)?	Daily

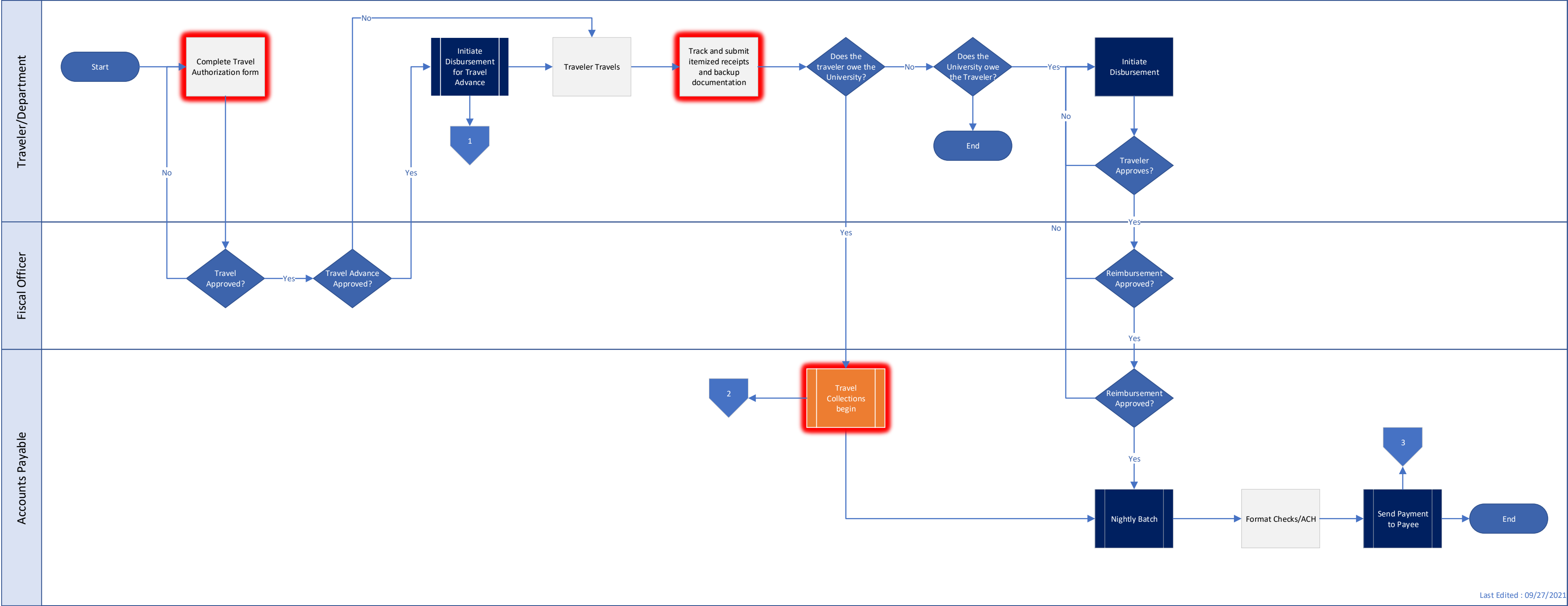
How many occurrences of the functionality are completed within the above timeframe?	UNIV_FISCAL_YR	FDOC_TYP_CD	COUNT(DISTINCTGL.FDOC_NBR)
	2019	DVCA	25,520
	2019	PCDO	28,708
	2019	PREQ	229
	2020	DVCA	18,934
	2020	PCDO	20,844
	2020	PREQ	145
	2021	DVCA	2,435
	2021	PCDO	6,451
	2021	PREQ	53
How long does it take to perform the functionality in the current environment?	5 days, 1 hour 10 minutes		

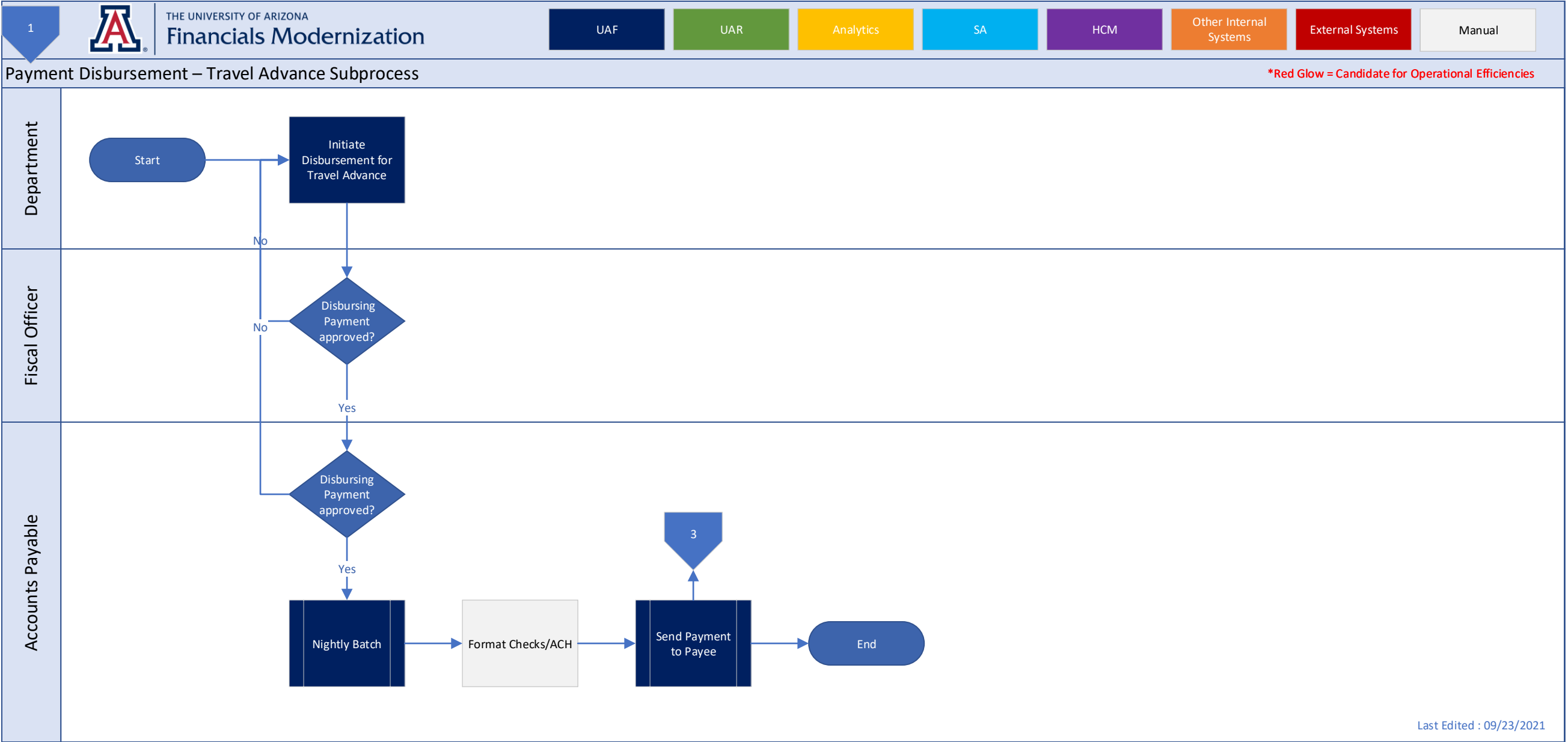
Change History

Version No.	Date	Description of Change Implemented	Completed By
1.0	6/30/2021	Initial Draft	
1.1	9/24/2021	Edits	
2.0	9/30/2021	Edits	

Outstanding Questions

Date	Question	Response







Travel Collections Subprocess

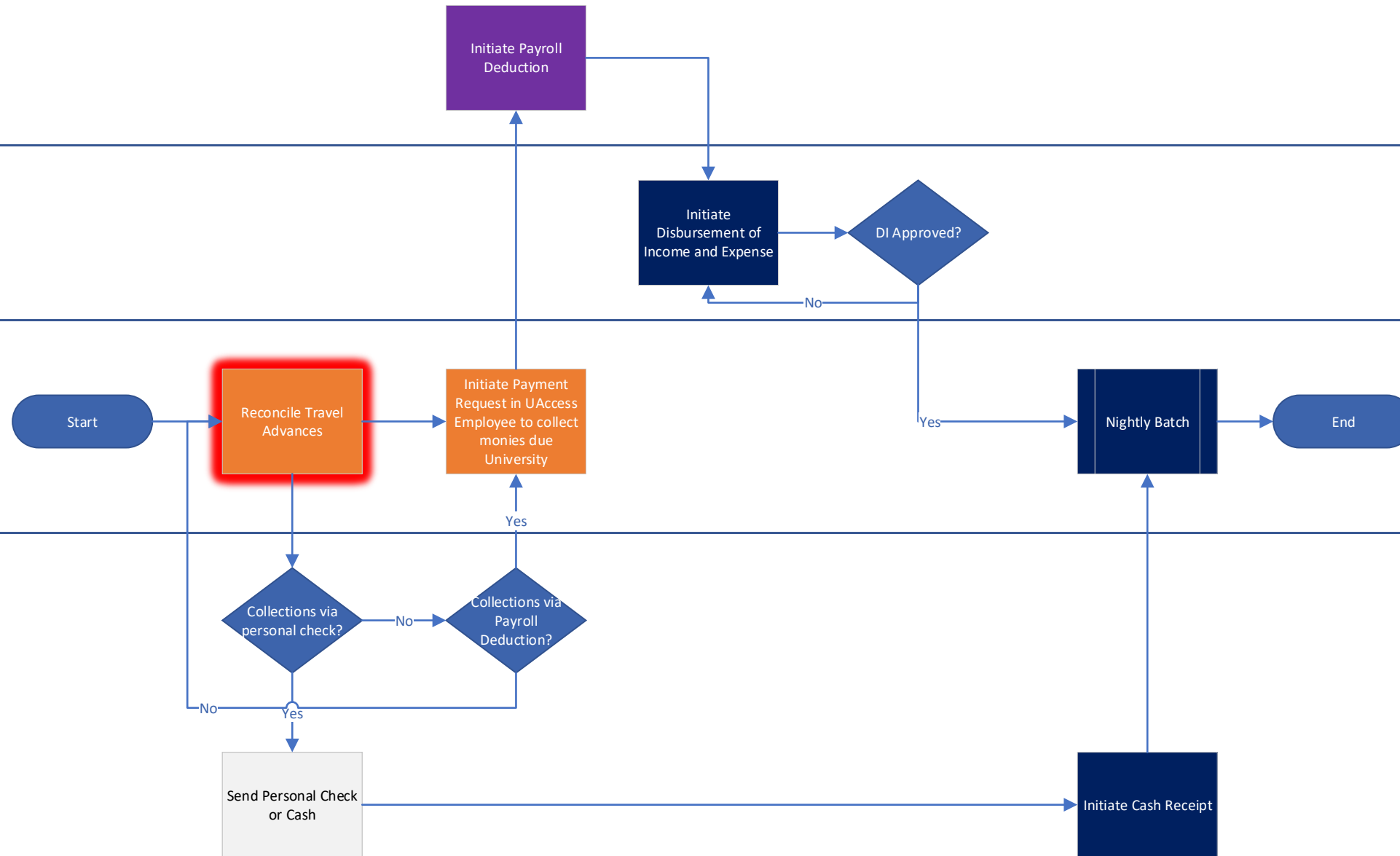
*Red Glow = Candidate for Operational Efficiencies

Payroll

Cash Accounting

Accounts Payable

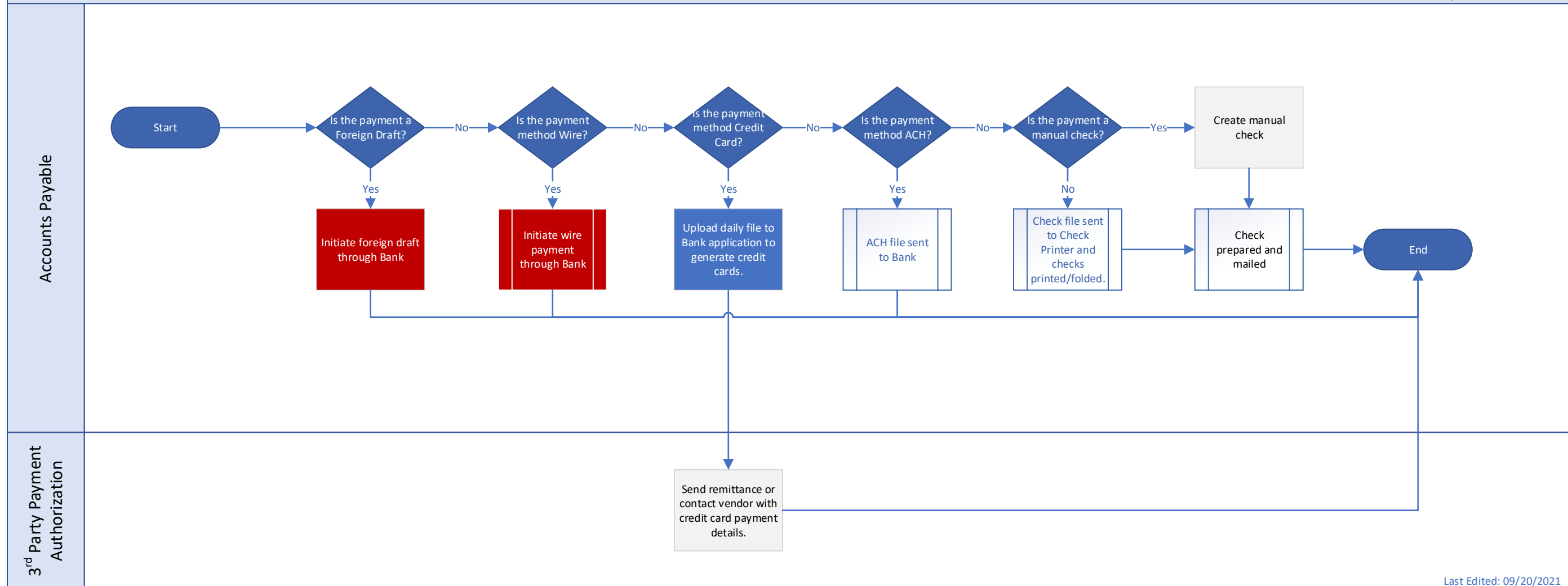
Traveler/Department





Send Payment to Payee Subprocess

*Red Glow = Candidate for Operational Efficiencies



Business Process Design – PCard Compliance Review



THE UNIVERSITY OF ARIZONA

Financials Modernization

<i>Date Created</i>	<i>Process Name</i>
10/19/2021	PCard Compliance Review
<i>Version No.</i>	<i>Created By</i>
1.0	
<i>Process No.</i>	<i>Process Owner</i>
FM-01	

Is this process unique to the University of Arizona? [Yes/No]	No
Operational Efficiencies candidate? [Yes/No]	No

Overview	To get a feel for what the overall business process is, why we are doing it, and why it is valuable.
Description [High level overview of the process]	Review a percentage of monthly PCard transactions to ensure documentation is attached and purchases follow policy. All work is done outside of Financials, except for the documentation review in Financials.
Purpose [Why/How does this process benefit the organization]	To verify that purchases remain in compliance with all policies including but not limited to University, Arizona Board of Regents (ABOR), Internal Revenue Service (IRS), State of Arizona and internal control policies.
Scope [Include both what is and is not in the process]	PCard financial transactions that have been reconciled and are in final status within Financials.
Value [What objectives are accomplished]	To remain in compliance with internal control policies & requirements as well as University, ABOR, IRS and the State of Arizona.

Roles and Responsibilities

Roles or teams within the flow of the business process.

Role / Team	Responsibility	Department
Financial Compliance	Gather transactions to review, review and communicate results with department(s)	Financial Services
Fund Accountant	Distribute and review transactions	Financial Services

Resources

Reports, forms, trainings, other applications/systems used in the process.

Resource Type	Name	Description	Location / Link
Application (Other) - Database	PCard Operations Center [PCOC]	Database used as system of record for PCard transactions	
Reports	UAccess Analytics	Various reports on the PCard dashboard as well as on the Employee dashboard	
Application (Other) - Excel	Master List for follow-up	Excel used to track administrative communication focused on each month of review	
Application (Other) - Excel	WebDev	Semi-monthly spreadsheet used to determine risk	

		of PCard transactions	
Application (Other) - Excel	Sample for Review	List of PCard transactions to review for each month of review	
Application (Other) - Software	Diligent	Software used to generate a random sample of PCard transactions to review	

Process	Provide a detailed description of the current process.
Input [Identify the need required to initiate the process]	Monthly transaction reconciliation is completed and PCard files have posted for the period. Data sampling of PCard transactions is acquired for review.
Output [Identify the results that must be achieved]	Data sampling complies with policy
Exceptions to Routine Process Flow	PCard violations requires further actions and communications with the department and possible PCard cancellation depending on the severity of the violation. Auto approved PCard transactions may not be reconciled.
Points of Control [Identify gaps and/or risk areas in the process]	This process is primarily outside of Financials. The process is manual and can be lengthy. This process only involves a random sampling of the monthly PCards to be reviewed based on determination of object codes (80% risky/20% non-risky).
Flow	• Event: What is the step or action taken? • Purpose: Why is this step necessary? • Owner: Who is the person (role) that executes the process? • Time: How long does this step in the process take? Is there a deadline? Is the event manual (M) or systematic (S)? • Requirements: How is this step accomplished and by what technology and/or dependencies? • Required Data: Include any data used as an input for the current process or output to another business process.

#	Event	Purpose	Owner	Time	Requirements and Technology Used	Required Data (Input/Output)
1	Determine the risk of PCard transactions	Classify PCard Transaction based on object code being risky or non-risky	Financial Compliance	45 minutes (M)	PCOC, WebDev	Output: Data from full month of PCard transactions (PCOC)
2	Determine PCard transactions sample	Generate a random sample (80% Risky & 20% Non-Risky) from the population of the full month of PCard transactions by importing into Diligent	Financial Compliance	1 hour (M)	Diligent	Input: Data from full month of PCard transactions (PCOC) Output: Sample of PCard transactions
3	Import sample transactions into PCOC and provide to Fund Accountants for review	Flag PCard transactions in PCOC and extract the sample list to provide to the Fund Accountants to be distributed for review	Financial Compliance	10 minutes (M)	Diligent, Sample for Review, PCOC	Input: Sample of PCard Transactions Output: Sample for Review
4	Distribute data for review	Distribute sample PCard transactions and information required to review	Fund Accountant	15 minutes (M)	Sample for Review	
5	PCard Transaction Review & mark results in PCOC	Review the PCard transaction, justification & documentation from the department to determine if the PCard transaction is within proper compliance of policies & mark the results in PCOC	Financial Compliance/Fund Accountant	80 hours (M)	Financials, PCOC, Sample for Review	Input: Sample for Review Output: Master List for follow-up
6	Administrative follow-up	Communicate with department(s) to request additional information, justification &/or documentation to finalize the review	Financial Compliance	100 hours (M)	Financials, Master List for follow-up, PCOC	

Other Business Processes Called Within This Process	Process Name	Process No.	JIRA
	PCard Transactions	PRC-04	None

Policies

Policy No.	Description
ABOR Policy 6-711	Internal Control Responsibilities
ABOR Guidelines for implementation of 6-711	Guidelines to implement ABOR Policy 6-711
FSM 9.00	Expenditure Policy and Procedures
FSM 13.00	Student and Postdoctoral Payments
FSM 14.00	Travel
SAAM	State of Arizona Accounting Manual
PCM	Purchasing Card Manual
PPM	Purchasing Policies Manual
IRS	Internal Revenue Service
PMM	Property Management Manual

Interfaces

Name	Description
PCOC	Data from Financials to PCOC is through the data warehouse

Operational Efficiencies

Comments

The majority of this process is manual and could be more efficient. This process could involve additional ways in which PCard transactions are sampled.

Measurements

Measurement Conventions	Metrics
How often is the functionality performed currently (i.e. daily, weekly, monthly, etc.)?	Monthly
How many occurrences of the functionality are completed within the above timeframe?	376 documents minimum
How long does it take to perform the functionality in the current environment?	182 hours & 10 minutes

Change History

Version No.	Date	Description of Change Implemented	Completed By
0.0.1	10/19/2021	Initial Draft	
1.0	10/25/2021	Updated Resources, Events (with times) & policies	

Outstanding Questions

Date	Question	Response

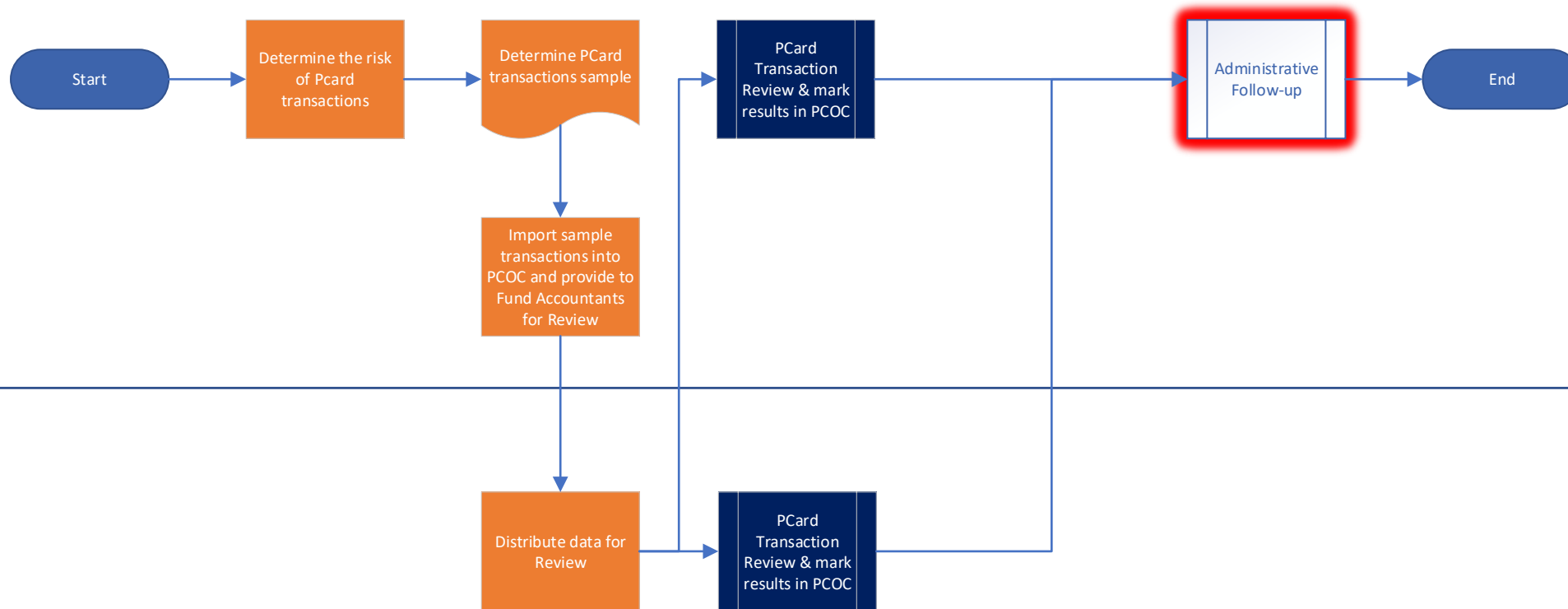


FM-01 | PCard Compliance Review

*Red Glow = Candidate for Operational Efficiencies

Financial Compliance

Fund Accountant



Business Process Design – Sponsored Account Setup



THE UNIVERSITY OF ARIZONA

Financials Modernization

<i>Date Created</i>	<i>Process Name</i>
7/13/2021	Sponsored Account Setup & Modifications
<i>Version No.</i>	<i>Created By</i>
1.4	
<i>Process No.</i>	<i>Process Owner</i>
SA-11	

Is this process unique to the University of Arizona? [Yes/No]	No
Operational Efficiencies candidate? [Yes/No]	Yes

Overview	To get a feel for what the overall business process is, why we are doing it, and why it is valuable.
Description [High level overview of the process]	The process of setting up sponsored accounts and their modifications
Purpose [Why/How does this process benefit the organization]	It's a requirement to track financial activities on sponsor funds
Scope [Include both what is and is not in the process]	End-to-end process of account setup
Value [What objectives are accomplished]	The ability to complete financial reports, billing, audit and other federal and sponsor requirements

Roles and Responsibilities

Roles or teams within the flow of the business process.

Role / Team	Responsibility	Department
Business Office + PI	Proposal in UAR	Department
PreAward	Approve Proposal	SPS
Negotiator	If Contract/Award Negotiation is needed	Office of Research Contracts, UA Health Sciences
PostAward	Award in UAR	SPS
PostAward	Account	SPS

Resources

Reports, forms, trainings, other applications/systems used in the process.

Resource Type	Name	Description	Location / Link
Training	Procedure Manual in Confluence	SPS Procedure Manual has details about Account Setup	
System	UAccess Research	System for storing proposal and award info	
File Directory	T-Drive	Storage for Award documents	SPS Internal
System	UAccess Analytics	Used for reports and notifications	
Application (Other)	Financial Reporting Log	Access DB for tracking reporting requirements for Awards	SPS Internal
Application (Other)	Patent Reporting Log	Access DB for tracking patent reporting requirements for Awards	SPS Internal
Application (Other)	Billing Log	Access DB for tracking billing for Awards	SPS Internal
Application (Other)	Invoice Wizard	Access DB to generate invoices	SPS Internal

Process							
Input [Identify the need required to initiate the process]		Subawards, contracts, grants, and cooperative agreements from federal, state, local, other universities, and industry.					
Output [Identify the results that must be achieved]		A unique identifiable account for charging expenses to with limiting of dates, indirect charging, categorizing for future reporting					
Exceptions to Routine Process Flow		Backstopping accounts for future spending, if contract negotiation is needed additional variable time is used from days - months					
Points of Control [Identify gaps and/or risk areas in the process]							
Flow		• Event: What is the step or action taken? • Purpose: Why is this step necessary? • Owner: Who is the person (role) that executes the process? • Time: How long does this step in the process take? Is there a deadline? Is the event manual (M) or systematic (S)? • Requirements: How is this step accomplished and by what technology and/or dependencies? • Required Data: Include any data used as an input for the current process or output to another business process.					
#	Event	Purpose	Owner	Time	Time mod	Requirements and Technology Used	Required Data (Input/Output)
1	Create Proposal in UAR	Storing proposal information in the research system	Department	30-45 mins		UAccess Research	
2	Contract Negotiation is done if needed	To finalize terms and conditions on sponsored awards	ORC, UAHS	1 day - months		UAccess Research	
3	Sponsor Review	Approve/Disapprove proposal	Sponsor	2–30 days (depends on sponsor deadline)		External Process	
4	Create Award in UAR	Storing award information in the research system	SPS	20-30 mins		UAccess Research	
5	If there is Subaward, do subaward setup	Receive and file subaward documents	ORC	20-30 mins		UAccess Research	

5.1	Create Subaward Shell	Storing subaward information in the research system	ORC	5-10 mins		UAccess Research	
5.2	Create Subaward Negotiation	To track subaward status	ORC	5 mins		UAccess Research	
5.3	Do Compliance Checks, Drafting, Request department approval of agreement, Notify Department to Create Requisition	To ensure subrecipient is compliant, agreement's details are accurate, and to start requisition process	ORC	1 – 5 days (10-20 mins, 20 – 40 mins, depends on department)		UAccess Research and email	
5.4	Create Requisition		Department	5-10 mins		UAccess Financials	
5.5	Negotiation	To sub-recipient for signature (possibly to negotiate/revise agreement)	ORC	2-14 days (depends on subrecipient)		UAccess Research	
5.6	Approve Requisition	To create Purchase Order number	ORC	5 mins (depending on the department)		UAccess Financials	
5.7	PO Finalized		PACS	2 days (can be delayed if required documentation is missing)		UAccess Financials	
5.8	Fully execute, Update & Close Subaward Negotiation		ORC	1-2 days		UAccess Research	
6	Create Award Folder in T-Drive & Upload documents	Storing award documentation	SPS	5-10 mins		T-Drive (on-prem storage directory)	
7	Account Setup in UAF	Entering all award related information into the financial system	SPS	10-15 mins		UAccess Financials	Refer Appendix
7.1	Create Account using Account Create Doc		SPS	15-30 mins		UAccess Financials	
7.2	Create CFDA maintenance values if not present	For SEFA Reporting	SPS	2 min + plus approval time		UAccess Financials	

7.3	Create ICR maintenance values if not present	For F&A Charges	SPS	15-20 mins		UAccess Financials	
7.4	Blanket Approve to complete Account Setup	Store account/award data in Financial System	SPS	1 min		UAccess Financials	
7.5	Create Sibling Account if needed		SPS	10-15 mins		UAccess Financials	
7.6	Create Proposal		SPS	5-10 mins		UAccess Financials	
7.7	Create Award	Store account/award data in Financial System (Account Create Doc)	SPS	5-10 mins		UAccess Financials	
7.8	Create Cost Share Sub-Account if Award has Cost-Share	For applying cost share on transactions	SPS	5-10 mins		UAccess Financials	
7.9.1	If budget can be loaded upfront, allocate budget using budget adjustment document		SPS	5-10 mins		UAccess Financials	
7.9.2	Budget Allocation is routed for Department approval		Department	3-5 mins		UAccess Financials	
7.10	If budget cannot be loaded, add account to Budget Load Log		SPS	3-5 mins		Excel	
8	Department receives account setup complete notification from Analytics		Department	Email sent next day		UAccess Financials	
9	Close Negotiation		SPS	2 mins		UAccess Research	
10	Data Entry into Financials Reporting Log	For closeout and reporting	SPS	5-10 mins		Access DB	
11	If there is Patent reporting required, Data Entry into Patent Log	For annual & final patent reporting	SPS	5-10 mins		Access DB	
12	If Award is not LOC, Data Entry into Billing Log & Invoice Wizard	For invoicing and billing	SPS	5-10 mins		Access DB	

Business Process Flowchart

Other Business Processes Called Within This Process	Process Name	Process No.	JIRA

Policies

Policy No.	Description
6.10	Financial Services Manual

Interfaces

Name	Description
N/A	

Operational Efficiencies

Comments
OE-06: Redundant data entry in Research and Financial system as there is no interconnectivity
OE-37: Award tracking/billing information stored in multiple systems

Measurements

Measurement Conventions	Metrics
How often is the functionality performed currently (i.e. daily, weekly, monthly, etc.)?	Daily
How many occurrences of the functionality are completed within the above timeframe? (SPS)	6
How long does it take to perform the functionality in the current environment? (SPS)	4 - 8 days (If there is subaward, additional 5-18 days per subaward)

Change History

Version No.	Date	Description of Change Implemented	Completed By
1.0	7/13/2021	Initial Draft	
1.1	9/8/2021	Time Updates	
1.2	9/16/2021	Added Sub-Award workflow	
1.3	10/26/2021	Sub-Award Time Updates	
1.4	10/26/2021	Review & Updates	

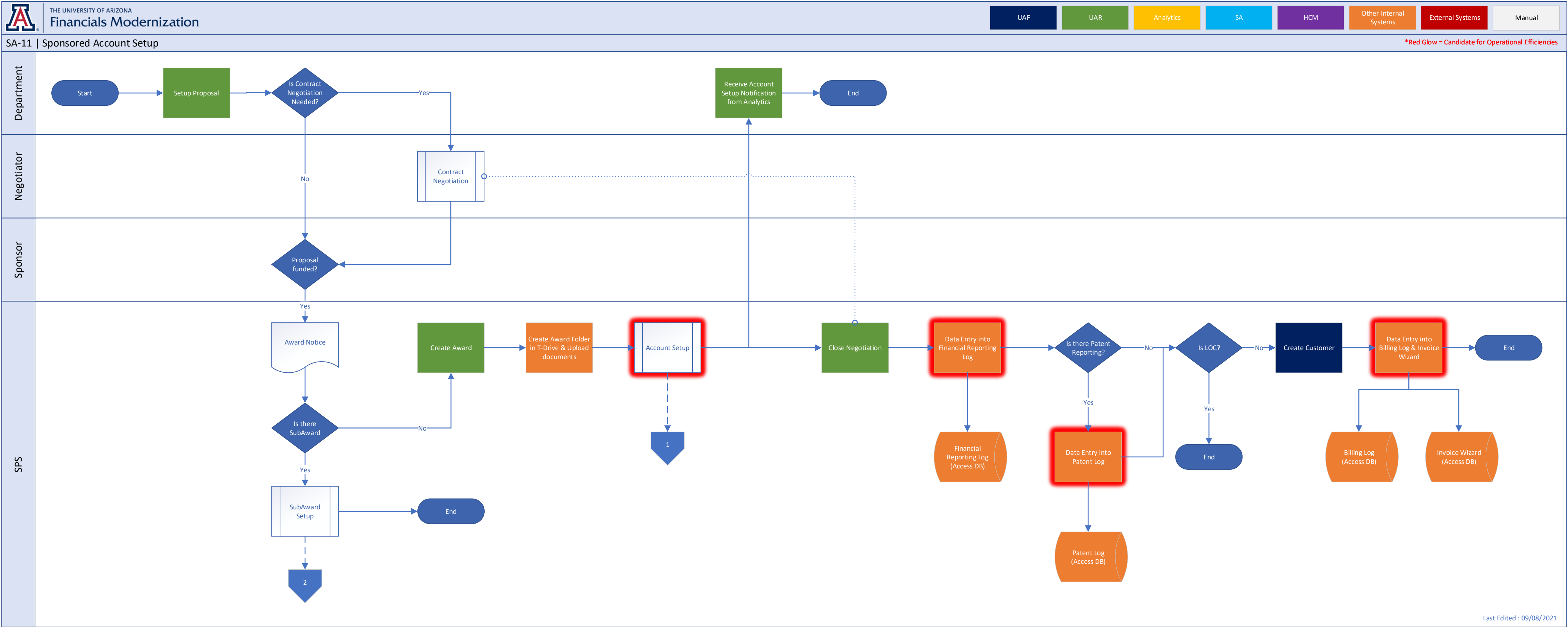
Outstanding Questions

Date	Question	Response
	N/A	

Appendix – Data Tracked

Document	Data field
Account	- All University Chart Data - Department - Effective Date - Expiration Date - On/off campus - Source of Funds – was added for SEFA reporting - Higher Education Function Code (Multiple Purposes tracked on Award)

	○ Many to one capability to relate accounts (related to the same award) – currently using income stream account • Continuation account • IDC ○ IDC Base ○ IDC Rate • CFDA Number – external reporting/SEFA reporting/Sponsor reporting • LOC (Right now tracked on Award) • Backstop code – Post expenditures without award agreements ○ Currently using account type code – (B1 - Backstop,B2- Preaward Backstop,B3 – Backstop – timeonly) • Budget style/cash style • Cost Share (currently tracked through sub account)
Award	• Agency • Grant Description is a combination of 2 trackable data ○ Award Mechanism – Grant/Contract/ - check table ○ Fixed Price/Cost Reimbursement • Purpose • LOC • Grant Number • PI • Project Title – Account/Award/Proposal – ideally should be the name of the award/account ○ On account, Account Purpose field is being used ○ Project Title used on Award
Proposal	• Compliance Checks (currently using research risk type to track)



Account Setup Sub-Process

*Red Glow = Candidate for Operational Efficiencies

