Finance Security Handbook
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Section 1: Overview

Introduction to Finance Security

The Finance Security Handbook is designed to assist faculty and staff in the schools and departments who need to either request or approve system access to any of the Columbia University Financial systems. These systems include: Accounting & Reporting at Columbia (ARC), Concur, Jaggaer, FINSYS, and the Financial Data Store (FDS).

This handbook will describe the financial systems, the various roles available to departments to transact within those systems, and the application process. All security role requests must be approved by both the requestor's manager and the Departmental Authorization Function (DAF) Administrator for the school/admin unit.

DAF authority is a critical component of the University's control system. It assigns levels of authority to University employees to approve key transactions on the University's behalf and details the responsibilities when reviewing and approving transactions. Please review and familiarize yourself with the Departmental Authorization Function policy for the University. The DAF policy can be found on the University Policies site.

Overview of Financial Systems

There are five primary financial systems at Columbia University: Accounting & Reporting at Columbia (ARC), the Financial Data Store (FDS), Concur, Jaggaer, and FinSys. This handbook covers these systems. In addition, the People@Columbia (PAC) system is used for all Human Resources transactions; consult the PAC handbook for more information.

Accounting & Reporting at Columbia (ARC): ARC is the University's primary financial system and system of record. It is the PeopleSoft Financials Enterprise Resource Planning (ERP) system. The following functionality is available via ARC:
- General Ledger (GL) with Commitment Control (KK)
- Project Costing (PC)
- Payables (AP)
- Purchasing (PO)
- eProcurement (ePro), requisitioning only
- P-Card reconciliation and approval

Concur: Concur is the Columbia Travel and Expense system. It is a cloud-based solution offering paperless, electronic travel request and reimbursement. Concur automates travel requests, booking, and expense reporting for University business travel. The following access will be available:
- Concur Travel Arranger
- Concur Initial Reviewer
- Concur Financial Approver
- Travel Expense and Reimbursement Corporate Card
- Concur Adhoc Approver
- Concur Reporting Manager
- Senior Business Officer Approver Role

Jaggaer: Jaggaer is an eProcurement system providing a modern procurement and payables experience that integrates with ARC. Jaggaer hosts the CU Marketplace, where users may shop from a range of enabled suppliers, create a requisition, acquire necessary approvals, issue a Purchase Order to the vendor and then have invoices auto-created and paid. The following access will be available:
- Shopper
- Requester

- Approver

FinSys: FAS was the University's legacy financial system prior to ARC. FinSys was comprised of modules to facilitate transacting and reporting. A number of modules, and the maintenance of certain access, have been retained in FinSys rather than being integrated into ARC. These modules are:
- Time Collection
- Endowment Term Sheets
- Cash Entries
- Budget Tool
- PAD Reporting

Financial Data Store (FDS): FDS is the University's financial data repository. Through FDS, users can access information that will assist in managing their financial responsibilities including budgeting, transacting, monitoring and analyzing financial activity.

Overview of Security Roles

A security role is the specific authorization given to a user to complete financial activities in ARC, FDS, Concur, Jaggaer, and FinSys. This includes viewing data. A user's security roles define the activities a user can complete, including:

- Initiating transactions
- Approving transactions
- Viewing data and reports

Applying for Security Access

Security roles are obtained by completing the [Financial Systems Security Application](#) which can be found in the ServiceNow Service Catalog.

All financial security roles must be formally requested using the application and approved by both the user's manager and by the DAF Administrator for the school/admin unit to which access is being requested.

Required Training

A user's security access will only be granted once all training requirements for the roles requested on the security application have been completed. The user will receive an email describing the training requirements when security access is requested. The user will then need to complete any required training before security roles can be assigned.

Section 2: Accounting & Reporting at Columbia (ARC), Concur and Jaggaer Roles

Types of Roles

Financial system security roles allow three basic types of access:

- **Page Access:** Defines the *pages* a user can navigate to and the transactions a user can view/initiate. The departments for which a user will transact are not defined for page access.

- **Workflow Access:** Defines the *approval* authority a user has for transactions on the related Pages. Departments must be selected as part of the role request. In addition, procurement workflow roles require dollar thresholds. Workflow routing is based on the departments and other characteristics of the transaction, such as the dollar amount of procurement transactions.

- **Inquiry Access:** Defines the *data* to which a user has access to view and report on. Inquiry access is generally defined by the departments for which a user can see financial and transactional information. However, in certain circumstances, inquiry access may be defined by ChartField (e.g., Project).

  Special Considerations for Financial Reporting (FDS):

  o Financials Inquiry – Access is granted to view department(s) and access to view all accounts. This is the most common access granted.

  o Block Payroll Natural Accounts - This would be an unusual request, to limit access to view payroll totals by blocking payroll natural account lines in reports. Blocking payroll accounts will preclude a user from running COB reports as well.

  o PAD Access – Provides access to detailed payroll reporting by employee. PAD is governed by FinSys security access, and is described in more detail in the FinSys section of this handbook (Section III).

  o Reporting by ChartField – Although departmental reporting is most common, reporting access can be given based on ChartFields rather than departments. Special reports, such as Summary Reports by ChartFields, utilize access to the Project, Initiative, or Segment to see all activity for these ChartFields, across all departments.

    ▪ There are special FDS reports designed for Projects, Initiatives and Segments that base security on the "Responsible Person" or "Report Distribution" attributes on the Project, Initiative or Segment.

    ▪ A user would apply for this access using the Financial Inquiry Application (an application separate from the Financial Systems Security Application)

Descriptions of Financial Roles

The following tables describe the roles that may be requested using the Financial Systems Security Application (FSSA) and the associated training.

Please note that all shaded roles (Section 3 of the FSSA) indicate that the role is a special request, and will be reviewed by the Controller's Office, in addition to the normal review and approval process, before the role is granted to the user.

All training courses marked with an asterisk (*) have a required Knowledge Assessment or Training Acknowledgement associated with the training course.

FSSA Section 2.1 Procurement Roles Standard roles needed for departmental users who need to procure and pay for goods, services and travel.			
Role Name	**Description**	**User Type**	**Training Required**
CU Marketplace Shopper	Allows users to shop, but not create a requisition, in the Jaggaer CU Marketplace. Users can create carts and assign to a Requester. Employees in PAC are granted this ability automatically, with the exception of Student Officers who may or may not be opted-in by each School to be Shoppers in the CU Marketplace. Anyone automatically granted the Shopper role does not need to apply for it using the FSSA.	Available for Student Officers (if not opted-in at the School level), casuals, consultants/temps, and affiliates.	No training required
Requisition Initiator/Requester	Allows users to create, update and cancel purchase requisitions and change orders in both ARC and in the Jaggaer CU Marketplace. Also allows users to: • Run budget checking process • Create, update and cancel change orders • Create and view the requester workbench page • Create/update receipts	Available for all user types.	• Introduction to ARC • Introduction to Purchasing • Vendor Processing • **Requisitions, Change Orders, and Purchase Orders*** • Reporting Overview
Department Requisition Approver	Allows users to approve requisition transactions for your department(s) in ARC and the Jaggaer CU Marketplace. There are 7 dollar thresholds available: • Department Approval Level 1, $0 - $1,000 • Department Approval Level 2, $1,001 - $2,500 • Department Approval Level 3, $2,501 - $15,000 • Department Approval Level 4, $2,501 - $30,000 • Department Approval Level 5, $2,501 - $100,000 • Department Approval Level 6, $2,501 - $500,000 • Department Approval Level 7, $15,001 - $500,000 In the Jaggaer CU Marketplace, a user with the Requisition Initiator role AND the Department Requisition Approver Level 1 role ($0-$1,000) may request and approve a transaction less than or equal to $1,000 where goods are shipped to a predefined campus location.	Available for officers. Support Staff may request Level 1 requisition approval ($0-$1,000), but no higher dollar approval thresholds are available to this population.	• Introduction to ARC • Introduction to Purchasing • **Managing Procurement Approvals*** • Reporting Overview
Voucher Initiator	Allows users to create, update and cancel vouchers in ARC.	Available for all user types.	• Introduction to ARC • Introduction to AP • **Voucher Processing*** • Reporting Overview
Department Voucher Approver	Allows users to approve voucher transactions for your department(s) in ARC. There are 7 dollar thresholds available: • Department Approval Level 1, $0 - $1,000 • Department Approval Level 2, $1001 - $2,500 • Department Approval Level 3, $2,501 - $15,000 • Department Approval Level 4, $2,501 - $30,000	Available for officers.	• Introduction to ARC • Introduction to AP • **Managing Procurement Approvals*** • Reporting Overview

	• Department Approval Level 5, $2,501 - $100,000 • Department Approval Level 6, $2,501 - $500,000 • Department Approval Level 7, $15,001 - $500,000		
CU Travel Arranger	Allows all users to book travel for Guests in Concur	Available for all user types.	No training required
Concur Initial Reviewer	If an employee has no supervisor listed in PAC, the Concur Initial Reviewer will perform the initial review of Travel and Business Expense reports/Advances in Concur. If an employee has a supervisor listed in PAC, the supervisor will perform the initial review of Travel and Business Expense reports/Advances in Concur.	Available for all user types.	• **Managing Travel and Expense Approvals in Concur*** • Reporting Overview
Concur Financial Approver	Allows officers to approve Travel and Business Expense Reports/Advances in Concur.	Available for officers.	• **Managing Travel and Expense Approvals in Concur*** • Reporting Overview

Notes:

Department level approval is based on the department(s) charged in the requisition, change order, or voucher transaction. Users may have multiple levels of approval, as they are not cumulative (i.e. if a user only has the Department Approver Level 3 roles of $2,500 - $15,000, they will not receive any transactions in the worklist that are between $0-$1,000 or $1,000-$2,500 Levels).

Procurement Initiator and Approver Roles require a requester profile:
- *Level 8 department: This should be the user's Administrative department in PAC (Level 8 only) and is required in order to enable the viewing of transactions in Jaggaer. For officers and support staff, this will be updated by a PAC feed and if a Level 8 department is captured in PAC, this will supersede what is entered on the FSSA. The ARC Requester Defaults page will allow users to populate a Level 8 Admin Department ID for use in Jaggaer.*
- *Origin: Generally the prefix of your administrative department. This assigns a default department to the transactions you create in ARC to facilitate reporting and searching for transaction.*

FSSA Section 2.2 Procurement Exception Roles These roles are for departmental users in certain circumstances.			
Role Name	**Description**	**User Type**	**Training Required**
Requisition Ad Hoc Approver	The ad hoc approver role does not replace the department approver for the transaction; it inserts the user as an additional approver for the transaction in ARC or Jaggaer. This role is only for users who do not have a Requisition Approver role.	Available for all user types.	• Introduction to ARC • Introduction to Purchasing • Introduction to AP • **Managing Procurement Approvals***
Voucher/Concur Ad Hoc Approver	The ad hoc approver role does not replace the department approver for the transaction; it inserts the user as an additional approver for the transaction. This role is only for users who do not have a Voucher Approver or Concur Financial Approver role.	Available for all user types.	• **Managing Procurement Approvals in ARC*** • **Managing Travel and Expense Approvals in Concur***
Concur Reporting Manager	Allows access to run reports, which include travel and business expenses for all users in the reporting manager's Sub-Division unit and World Travel Inc. generated reports via weekly and monthly emails. Access may only be assigned at the Dept Tree Level 6 node.	Available for officers.	No training required
Concur Temporary Access	Allows a non-employee temporary access (e.g. Consultant, Affiliate, etc.) as a Concur Request and Expense User. The user can be assigned as a Travel Delegate.	Available for casuals, consultants/temps, affiliates.	No training required
Procurement Inquiry	For users without other procurement roles, this allows access to inquire and report on Procurement transactions directly in ARC, including: • View queries and reports for requisitions, purchase orders, receipts, vouchers, payments and contracts. • Create and view requester workbench page/view. • View vendor information and inquiries • Run ARC delivered and customized vendor reports. Users with procurement transactional roles (initiator, approver) are automatically granted procurement inquiry access.	Available for all user types.	*The following training is not required but highly recommended:* • Reporting Overview • Reporting for Inquiry Only

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FSSA Section 2.3 Procurement Card Roles Standard roles needed for departmental users with procurement cards.			
Role Name	**Description**	**User Type**	**Training Required**
Travel and Business Expense Corporate Card Holder	**This card is issued on a limited basis, typically for those planning travel at least 5-6 times per year. All Corporate Card transactions are reconciled in Concur.** Allows a user with a Card to make eligible travel purchases for non-Columbia employee business and travel expenses.	Available for officers and support staff.	• **Travel and Expense Corporate Card Policy and Usage Training ***
P-Card Holder	Provides a user with a Procurement Card (P-Card) in order to make eligible purchases of goods and limited services up to $2,500. Holders must also have the P-card Reviewer and P-card Reconciler roles.	Available for officers and support staff.	• Reconciling P-Card Transactions*
P-Card Reviewer	Allows a user to view P-Card transactions for themselves or for assigned cardholder(s).	Available for officers and support staff.	No training required (training associated with P-Card Holder role)
P-Card Reconciler	Allows a user to review and reconcile transactions for assigned card(s), including: • Allocate ChartStrings for transactions • Input business purpose and attach receipts • Flag disputed transactions	Available for officers and support staff.	• Introduction to ARC • **Reconciling P-Card Transactions***
P-Card Approver	Allows a user to review and approve transactions for assigned card(s); ensure transactions are appropriate and within University policies.	Available for officers.	• Introduction to ARC • **Reconciling P-Card Transactions***

Notes:
All P-Card and Travel & Business Corporate Card holders must obtain the respective card by the approval of the FSSA. In order to obtain the card, the Policy and Procedural Training must be successfully completed. Once the training is complete the Card Administration team will provide a link to the Credit Card Application.

FSSA Section 2.4 General Ledger Roles

Standard roles needed for departmental users who need to transfer funds in ARC.

Role Name	Description	User Type	Required Training
Internal Transfer Initiator	Enter internal transfer journal entries online or using the worksheet upload tool	Available for all user types.	• Introduction to ARC • Introduction to GL • **Journal Entries*** • Reporting Overview
Internal Transfer Department Approver	View and approve internal transfer entries in ARC	Available for officers.	• Introduction to ARC • Introduction to GL • **Managing GL Approvals*** • Reporting Overview
Bypass Segregation of Duties on Internal Transfer transactions	For users with both the Internal Transfer Initiator and Internal Transfer Approver roles, this allows a user to bypass the segregation of duties approval requirement and enter and approve the same transaction. The bypass only applies to expense transfers and unrestricted fund transfers. It does not allow transactions to bypass foreign approval of transactions, when applicable.	Available for all user types.	No training required (Training is associated with the Internal Transfer Initiator or Internal Transfer Approver roles)
ChartField Requester	Allows users access to ARC ChartField request form for the purpose of requesting changes and/or updates to ChartField and attribute values.	Available for all user types.	• Introduction to ARC • Introduction to GL • Reporting Overview

FSSA Section 2.5 General Ledger Exception Roles

These roles are for departmental users in certain circumstances.

Role Name	Description	User Type	Required Training
Financials Inquiry	For users <u>without</u> other General Ledger roles, this allows inquiry access, query access and reporting (in both ARC and FDS) of financial transactions, data and attributes. Users with general ledger transactional roles (initiator, approver) are automatically granted financial inquiry access.	Available for all user types.	*The following training is not required but highly recommended* • Reporting Overview • Reporting for Inquiry Only
Block Payroll Natural Accounts	This excludes payroll summary balances in all financial reporting (ARC & FDS). This will limit a user's ability to run certain reports, including COB reports and will result in certain reports having blank rows. Blocking Payroll Natural Accounts is different from PAD access; PAD is given in FINSYS and allows users to view and budget employee-level payroll detail.	Available for all user types.	No training required

FSSA Section 3 Special Access		
These roles are for a select group of users and approved by the Controller's Office. These are not typically needed by departmental users.		
Role Name	**Description**	**User Type**	**Training Required**

Role Name	Description	User Type	Training Required
Department Requisition Approver (High Dollar Thresholds)	Allows users to approve high dollar requisition transactions for your department(s) in ARC. There are 5 dollar thresholds available: • Department Level Approval, $500,001 - $1,000,000 • Department Level Approval, $500,001 - $2,000,000 • Department Level Approval, $500,001 - $5,000,000 • Department Level Approval, $500,001 - $10,000,000 • Department Level Approval, $500,001 – Unlimited Assigned to specific roles in central units and central CUIMC units.	Available for officers.	• Introduction to ARC • Introduction to Purchasing • **Managing Procurement Approvals*** • Reporting Overview
Department Voucher Approver (High Dollar Thresholds)	Allows users to approve high dollar voucher transactions for your department(s). There are 5 dollar thresholds available: • Department Level Approval, $500,001 - $1,000,000 • Department Level Approval, $500,001 - $2,000,000 • Department Level Approval, $500,001 - $5,000,000 • Department Level Approval, $500,001 - $10,000,000 • Department Level Approval, $500,001 – Unlimited Assigned to specific roles in central units and central CUIMC units.	Available for officers.	• Introduction to ARC • Introduction to AP • **Managing Procurement Approvals*** • Reporting Overview
Concur Financial Approver (High Dollar Thresholds)	Allows users to approve Travel and Business Expense Reports/Advances in Concur over $50,000. Assigned to specific roles in central units and central CUIMC units.	Available for officers.	• **Managing Travel and Expense Approvals in Concur***
Senior Business Officer Approver	Allows users to approving Expense Reports/Advances when specific audit criteria are present (e.g. Policy Exceptions). Assigned to the most senior officers within Schools and units.	Available for officers.	• **Managing Travel and Expense Approvals in Concur***
Interface Voucher Processing	Allows users to send ARC voucher files from integrating systems (e.g., IDX, Skire, VPay). Assigned to users who send ARC voucher files from integrating systems (e.g., Epic, Skire, Vpay, NextSource).	Available for officers.	• Introduction to ARC • Introduction to AP • **Processing Interface Vouchers*** • Reporting Overview
Ability to process Single Payment Vouchers	For users with Interface Voucher processing access, allows the ability to process single payment vouchers to one-time vendors. Assigned to users who send ARC voucher files from integrating systems (e.g., Epic, Skire, Vpay, NextSource) who send to one-time	Available for officers.	• Introduction to ARC • Introduction to AP • **Processing Interface Vouchers*** • Reporting Overview

	vendors.		
Additional Account Access for Procurement Transactions	Allows users to charge procurement transactions to non-expense accounts. Assigned central units and CUIMC units who generally need to charge balance sheet account (e.g. patient refunds). All users are given standard access to charge to expense accounts.	Available for all user types.	No training required (Training is associated with the Voucher Initiator and Department Voucher Approver roles)
Clinical Trials Voucher Single Pay	Allows users access to set up Clinical Trial participants in PaymentWorks Vendor system. Typically assigned to CUIMC units who pay clinical trial participants.	Available for all user types.	No training required (Training is associated with the Voucher Initiator and Department Voucher Approver roles)
ChartField Request Department Approver	Allows users to approve changes and/or updates to ChartField and attribute values via the ARC ChartField request form. Assigned to the most senior officers within Schools and units.	Available for officers.	• Introduction to ARC • Introduction to GL
General Journal Initiator	Allows users to create special journal entries, transacting on the balance sheet. Assigned to users in departments and central units who have a specific need to transact on balance sheet accounts and are familiar with financial accounting.	Available for all user types.	• Introduction to ARC • Introduction to GL • **Journal Entries*** • Reporting Overview
General Journal Department Approver	Allows users to approve special journal entries, transacting on the balance sheet. Assigned to users in departments and central units who have a specific need to transact on balance sheet accounts and are familiar with financial accounting.	Available for officers.	• Introduction to ARC • Introduction to GL • **Managing GL Approvals*** • Reporting Overview
Departmental Cash Account Initiator (and Inquiry)	Allows users to enter transactions to clear cash accounts in ARC. Role must be associated with the appropriate bank account department (25-16-XXX). Assigned to users of departments with bank accounts to clear.	Available for all user types.	• Introduction to ARC • Introduction to GL • **Journal Entries*** • Reporting Overview
Departmental Cash Account Approver (and Inquiry)	Allows users to approve transactions to clear cash accounts in ARC. Role must be associated with the appropriate bank account department (25-16-XXX) and school/admin unit department(s). Assigned to users of departments with bank accounts to clear.	Available for officers.	• Introduction to ARC • Introduction to GL • **Journal Entries*** • **Managing GL Approvals*** • Reporting Overview
Grant Recharge Center Initiator	Allows users to enter internal transfer transactions against specific recharge accounts and bypass foreign department and SPF approval. The role is linked to the department(s) that the license is issued to. Transactions will be routed to the Internal Transfer Approver that has access to approve the recharge department, rather than approvers for the department being charged. Assigned to users of departments with a SPF issued and approved grant recharge license. Licenses are typically granted	Available for all user types.	• Introduction to ARC • Introduction to GL • **Journal Entries*** • Reporting Overview

	when a department provides goods or services to other departments and has a large frequency and volume of transactions.		
Non-grant Recharge Center Initiator	Allows users to enter internal transfer transactions against specific recharge accounts and bypass foreign department approval. The role is linked to the department(s) that the license is issued to. Transactions will be routed to the Internal Transfer Approver that has access to approve the recharge department, rather than approvers for the department being charged. Assigned to users of departments with a Controller's office issued and approved non-grant recharge license. Licenses are typically granted when a department provides goods or services to other departments and has a large frequency and volume of transactions.	Available for all user types.	• Introduction to ARC • Introduction to GL • **Journal Entries*** • Reporting Overview
Special Business Unit Access	Provides access to special business units (e.g., Kraft Center or Reid Hall), in addition to the standard Columbia business units assigned to each user by their campus. Assigned to users who have specific need to transact within a wide range of business units.	Available for all user types.	No training required
Advanced PS Query Reporting	Allows users to create their own queries in the ARC Reporting environment. Users must also have the ARC financials inquiry role, as those departments will be used for this role as well. Assigned to users who have strong analytic/technical skills.	Available for all user types.	• Introduction to ARC • Reporting Overview • **PS Query Reporting***

Section 3: FinSys Roles

Types of Roles

There are four types of access that can be granted in the FinSys modules:

- Inquiry (I): can view information, but not process transactions.

- Initiator (Create/Modify/Delete CMD): gives processing rights, and automatically includes inquiry rights.

- Preliminary Approval (P): gives preliminary/ad-hoc approval rights, and automatically includes inquiry, create/modify/delete. Final approval of a transaction will still be required.

- Final Approval (F): gives final approval rights for the transaction, and automatically includes inquiry, create/modify/delete.

FinSys Modules / Roles

FSSA Section 4 FinSys Granted by the DAF Administrator after approving the FSSA.			
Role Name	**Description**	**Section User Type**	**Training Required**
Time Entry Module	There are three types and each is a separate module: • Create payroll time entries for Casual Employees. • Add or subtract pay from Bi-weekly Support Staff payrolls. • Add or subtract pay from Weekly Union Staff payrolls.	Section 4.1, 4.2, 4.3. Inquiry and Initiator available for all user types. Preliminary and Final Approval available for officers.	• Using the FFE Time Collection Module
Endowment Term Sheet (END)	This grants access to the Endowment Term Sheets (via the Endowment Administration website) which contain key terms and restrictions for the University's endowment funds.	Section 4.4. Available for all user types.	• **Endowment Administration and Compliance Certification***
Cash Module (CSH)	The Cash Module is used to record all cash and checks received by the University. Once entered and approved in the system, all monies received by departments (other than Controller's, Treasury and Development) are to be brought to Student Financial Services for deposit. Please review the Cash Receipts Policy in the Administrative Policy Library before applying for access to the Cash module	Section 4.5. Available for all user types.	• Using FFE for Cash Deposits
Budget Tool (BUD)	The Budget Tool module is used for entering and revising departmental fiscal year budgets and enables user to input a current estimate and three future year budgets. Budgeting access is required for COB reporting access. Provides inquiry access to view current and previous year prior month-end, prior full year and fund balance information. If the user has General Journal access in ARC the Budget dept(s) should be the same as the Journal dept(s).	Section 4.6. Inquiry and Initiator available for all user types. Preliminary and Final Approval available for officers.	• Introduction to ARC Budget Tool

PAD – Payroll Detail Reporting Information (PAD)	PAD access is necessary in order to see individual payroll detail in FDS. This is highly sensitive information and should only be granted if needed. Inquiry ("I") access allows a user to see detailed payroll data in reports. Transaction ("CMD") access is required for a user to make detailed payroll updates in the Budget Tool.	Section 4.7. Available for all user types.	No training required (Training is associated with the Financial Inquiry role)

Section 4: Requesting Access on the Columbia University Financial Systems Security Application

Accessing the Application

The Financial Systems Security Application (FSSA) is available via the ServiceNow Website.
1. Go to ServiceNow and log in with your UNI and Password.
2. You will be presented with the Customer Portal. Click the link to "Catalog."

Once in the Service Catalog click on Finance under Departments on the left side of the screen, then on Security Application Requests. You are now under Security Applications where you will select "Financial Systems Security Application."
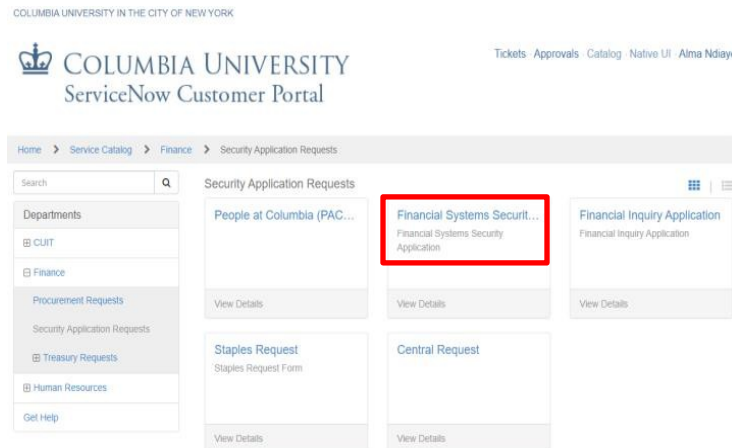
Completing the Application

Section 1 – User Information

The FSSA may be used to request access for yourself or access on behalf of another user. It collects information on the applicant, the manager or DAF Administrator who will need to approve the application when requesting access for yourself or collects information on the requested by person, requested for person, the manager or DAF Administrator who will need to approve the application when requesting access for another User.

First, select to identify who you are requesting access for:

1.1 Manager/Departmental Administrator Information

If requesting access for yourself, enter your manager's UNI, or the person in your department who is responsible for reviewing and approving the ARC roles requested. Once the UNI is entered, the rest of the Manager's information is auto-populated.

Section 1: User Information

*Who are you requesting access for?
- ● I am requesting access for myself
- ○ I am requesting access for another User

Requested By:
ac3558

Requested By Name:
Alma Ndiaye

*Requested For:
Alma Ndiaye

Requested For Name:
Alma Ndiaye

1.1: Manager/Departmental Administrator Information

*Manager's UNI:
je2015

Manager's Name:
Jacqueline Erickson

If requesting access for another user, enter the user's UNI, enter the manager's UNI or the person in the department who is responsible for reviewing and approving the roles requested. Once the UNI is entered, the rest of the Manager's information is auto- populated.

Note: If you are the designated manager in addition to being the requester, type in your UNI in the manager's field and it will route directly to the DAF Administrator.

Section 1: User Information

*Who are you requesting access for?
- ○ I am requesting access for myself
- ● I am requesting access for another User

Requested By:
ac3558

Requested By Name:
Alma Ndiaye

*Requested For:
mn181

Requested For Name:
Mark Neuman

1.1: Manager/Departmental Administrator Information

*Manager's UNI:
je2015

Manager's Name:
Jacqueline Erickson

1.2 User Type

Select the employee type. Access begin and end dates are required for:

- Consultants/Temps (access can be granted for no more than 90 days at a time)
- Affiliates (access can be granted for no more than 1 year at a time)

If an employee in PAC terminates employment or changes roles, access in ARC will be removed. As consultants, temps and affiliates do not have PAC profiles, access in ARC will be removed upon the expiration date.

1.2: User Type
- ☐ CU Officer
- ☐ CU Support Staff
- ☐ CU Casual
- ☑ Consultant/Temp - expiration date should not exceed 90 days
- ☐ Columbia Affiliate - expiration date should not exceed 1 year
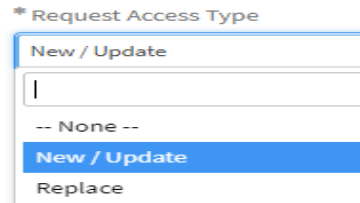
*Access begin date required
2020-09-30

*Access expiration date required
2020-12-29

1.3 Access Type

Enter the type of access request. New/Update Access – access is added; Replace Access – deletes existing security access and replaces it with the new request.

1.3: Access Type

* Request Access Type

New / Update

|

-- None --

New / Update
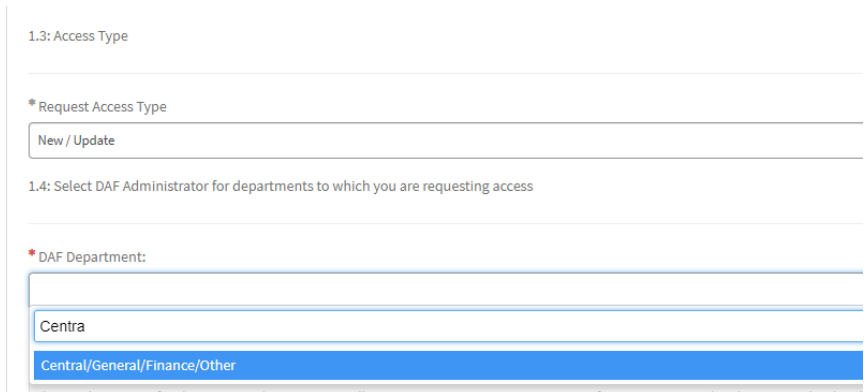
Replace

1.4 DAF Administrator

The DAF Administrators are the Senior Business Officers for the school/admin unit who are authorized to grant access to a certain set of departments.

Select the school/admin unit for the departments to which requesting access. For example, if requesting access to Chemistry, select Arts & Sciences from the menu. Click here for a complete list of departments and the associated DAF Administrator group.

1.3: Access Type

* Request Access Type

New / Update

1.4: Select DAF Administrator for departments to which you are requesting access

* DAF Department:

Centra

Central/General/Finance/Other
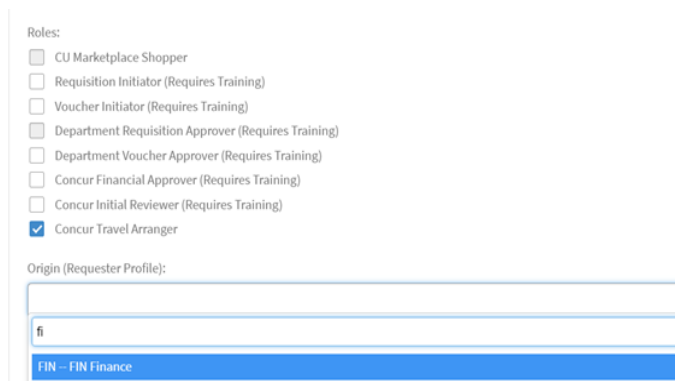
Section 2 – ARC/Concur/Jaggaer User Access

Section 2 lists all of the Procurement and General Ledger roles that are typical and standard for departmental users.
For a complete description of all of the roles, see pages 6-10 of this handbook.

Section 2.1 contains the typical procurement roles a user would request, relating to the purchasing and of and payment for goods and services and travel/business related expenses. These roles may require:
- an origin code (all except Travel Arranger and Shopper)
- Level 8 Admin Dept (Shopper and Requisition Initiator)
- the Inquiry department(s) and/or node(s) for which the user can see transactions (all except Travel Arranger and Shopper).

Roles:

☐ CU Marketplace Shopper
☐ Requisition Initiator (Requires Training)
☐ Voucher Initiator (Requires Training)
☐ Department Requisition Approver (Requires Training)
☐ Department Voucher Approver (Requires Training)
☐ Concur Financial Approver (Requires Training)
☐ Concur Initial Reviewer (Requires Training)
☑ Concur Travel Arranger

Origin (Requester Profile):

fi

FIN -- FIN Finance

When selecting the Department(s)/Node(s), either place the cursor in the selection box, scroll the list and click to select or begin typing the department number.

When an Approver role is selected, provide the:

- Dollar threshold(s) for transaction approval. Users may have multiple levels of approval, as they are not cumulative. If $1,001-$2,500 is selected, the user will not receive any transaction above or below those amounts, or be able to approve any transaction above or below those amounts.
- Department(s)/node(s) for transactions to be approved.

Section 2.2 contains additional procurement roles, typically for users who don't already have a role in section 2.1 (as the access is part of those roles).

Procurement Inquiry will require the user to select the Inquiry department(s)/nodes(s) for which the user should view transactions. Concur Reporting Manager will require a level 6 node(s).

Section 2.3 contains the P-card and Travel Business Expense Corporate Card. Users will be contacted by the P- card team to ensure they are linked to the appropriate card.

---

*Approval Dollar Range (check all that apply):

- [ ] $0 - $1,000
- [ ] $1,001 - $2,500
- [ ] $2,501 - $15,000
- [ ] $2,501 - $30,000
- [ ] $2,501 - $100,000
- [ ] $2,501 - $500,000
- [ ] $15,001 - $500,000

Concur Financial Approver Departments and Dollar Thresholds

*Approval Dollar Range (check all that apply):

- [ ] $0 - $500
- [ ] $501 - $2,500
- [ ] $2,501 - $15,000
- [ ] $15,001 - $50,000

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2.2: Procurement - Exception Roles

Roles:

- [ ] Receiver Only (No other Initiator Roles) (Requires Training)
- [ ] Requisition Ad Hoc Approver (Requires Training)
- [ ] Voucher/Concur Ad Hoc Approver (Requires Training)
- [ ] Concur Reporting Manager
- [x] Concur Temporary Access
- [ ] Procurement Inquiry Only

*Inquiry departments for roles selected in section 2.1 and/or section 2.2

Travel & Business Corporate Card:
This product is used for those planning to travel at least 5-6 times a year. All Corporate Card transactions will be reconciled in Concur therefore, Corporate Card holders must have a valid Concur Profile for Expense.

Purchasing Card (P-Card):
This product is used for those that are required to purchase goods on behalf of the University. All P-Card transactions will be reconciled in ARC.

For the P-Card Reviewer, Reconciler and Approver roles, the Credit Card Administrator will contact you with further instructions.

Credit Card Issuance:
All P-Card and Travel & Business Corporate Card holders must obtain the respective card by the approval of this form. In order to obtain the card, the Policy and Procedural Training must be successfully completed. Once the training is complete the Credit Card Administration team will provide a link to the Credit Card Application.

Roles:

- [ ] Travel and Business Expense Corporate Card Holder (Requires Training)
- [x] P-Card Holder (Requires Training)
- [x] P-Card Reviewer
- [x] P-Card Reconciler (Requires Training)
- [ ] P-Card Approver (Requires Training)

Section 2.4 contains the typical general ledger roles, related to revenue and expense transactions, that a user would request. The Internal Transfer Initiator and Approver roles both require the user to select the Inquiry department(s)/nodes(s) for which the user should view transactions.

When selecting the Department(s)/Node(s), either place the cursor in the selection box, scroll the list and click to select or begin typing the department number.

Section 2.5 contains additional general ledger roles, typically for users who don't already have a role in section 2.4 (as the access is part of those roles). The ARC Online Reporting role will require selecting the Inquiry department(s)/nodes(s) for which the user should view transactions. If reporting access is needed based on ChartField attributes (project, initiative, segment) rather than departments, please complete the Financial Inquiry Application in the ServiceNow Service Catalog.

If a user should not have access to summary payroll information in reports, select the Block Payroll Natural Accounts. This will restrict the ability to run COB reports.

2.4: General Ledger

Roles:
- [ ] Internal Transfer Initiator (Requires Training)
- [x] Internal Transfer Department Approver (Requires Training)
- [ ] Bypass Segregation of Duties on Internal Transfer transactions
- [ ] ChartField Requester

* If Internal transfer dept approver is selected, please fill in the following fields:

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2.5: General Ledger - Exception Roles ?

Select "ARC Online Reporting Only" if access to FDS is required but user does not have General Ledger transactional roles (in section 2.4).

Roles:
- [ ] ARC Online Reporting Only (includes Financial Data Store). All natural account lines appear in financial reports.
- [ ] ARC Online Reporting Only (includes Financial Data Store). Payroll natural account lines are excluded from financial reports (ARC/FDS – No COB reporting).

Inquiry Departments for roles selected in section 2.4

* Inquiry departments for roles selected in section 2.4 and/or section 2.5

Section 3 – ARC Special Requests

Section 3 lists all of the special request roles for ARC and Concur use, which are enhanced levels of access needed by a select group of users. If these are not required, please do not select access in this section. Special roles will be reviewed and approved by the Controller's office. **For a complete description of all of the Special Request roles, see pages 11-13 of this handbook.**

Click "More information" on the form for details on the Special Requests, and click "Yes" if roles in this section are needed.

Roles in **Section 3** that require additional information:

- Approval of procurement transactions over $500,000 and Concur Financial approval of transactions over $50,000. Select the dollar threshold(s) and the department(s)/node(s) for transactions to be approved. For Senior Business Officer Approver select the level 5 node(s).

Is ARC/Concur Special Request access required? If required, please click Yes below and select access. If not, proceed to Section 4 (selecting No is not required). ⊙

Special Requests are types of access needed by only a select group of users and approved by the Controller's Office. If none of these are required, please do not select access in this section:

- Approval of requisitions and vouchers over $500,000
- Concur approval of travel and business expense reports and travel/cash advances over $50,000
- Concur senior business officer approval of expense reports and advances when specific audit criteria are present
- Access to send voucher files from integrating systems
- Bypass the segregations of duties requirements for procurement transactions
- Access to additional accounts for procurement transactions (revenue and balance sheet accounts)
- Approval of chartfield request forms
- Initiate or approve general journal entries (access to balance sheet accounts)
- Initiate or approve cash transactions for departmental bank accounts
- Initiate grant and/or non-grant recharge center transactions
- Access additional business units
- PS Query reporting access (requires SQL knowledge for senior financial or technical users)

● Yes ○ No

3.1: Procurement - Senior Approval Thresholds

Roles:

☐ Department Requisition Approver (Requires Training)
☑ Department Voucher Approver (Requires Training)
☐ Concur Financial Approver (Requires Training)
☑ Senior Business Officer Approver (Requires Training)

* Requisition / Voucher Approver Departments and High Dollar Thresholds Approval Dollar Range (check all that apply):

☐ $500,001 - $1,000,000
☐ $500,001 - $2,000,000
☐ $500,001 - $5,000,000
☐ $500,001 - $10,000,000
☐ $500,001 - unlimited

Enter Requisition/Voucher approver for the following department(s) / tree node(s):

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* Division Node "Level 5"

✖ 14AD00X FIN Administration

- For general journal entries, select the department(s)/node(s) for transactions to be approved.

- For Department cash entries, select both the department(s)/node(s) for transactions to be approved and the bank account department (25-16-XXX).

- For grant and/or non-grant recharge center transactions, select the department(s) which the license is approved for. License number(s) are required for the grant recharge centers.

3.2: Procurement - Interface Voucher Processing ❓

Note: Access to this role is for users who send ARC voucher files from integrating systems (e.g., IDX, Skire, Vpay, NextSource)

Roles:
- ☐ Interface Voucher Processing (Requires Training)
- ☐ Ability to process Single Payment Vouchers (restricted to integrating systems who send payments to one-time vendors)

3.3: Procurement - Additional Account access for Requisition and Voucher Processsing ❓

Note: Access to this role is for users who need to charge procurement transaction to non-expense accounts

Roles:
- ☐ Additional Account Access for Procurement Transactions

3.4: Procurement - Single Pay Voucher ❓

Note: Access to this role is for users who need to pay Clinical Trial participants

Roles:
- ☐ Clinical Trials Voucher Single Pay

3.5: General Ledger - ChartField Request Approver

Roles:
- ☐ ChartField Request Department Approver

3.6: General Ledger - General Journals

Roles:
- ☐ General Journal Initiator (Requires Training)
- ☑ General Journal Department Approver (Requires Training)

* Enter General Journal Entry Approver and Financials Inquiry for the following department(s) / tree node(s):

3.7: General Ledger - Cash Accounts ❓

Note: You must select the bank account department(s) (2516XXX) in addition to the department(s) for your School/Unit

Roles:
- ☐ Departmental Cash Account Initiator and Inquiry (Requires Training)
- ☐ Departmental Cash Account Approver and Inquiry (Requires Training)

3.8: General Ledger - Recharge Centers ❓

Note: Please be advised that this role is granted at the department level only (level 8).

Example: 0102102 - PRE Office of the President

"Do not select a node (department ending in X or any other letter)"

Roles:
- ☑ Grant Recharge Center Initiator (Requires Training)
- ☐ Non-Grant Recharge Center Initiator (Requires Training)

* Enter License Number:

* Enter Recharge Center Initiator for the following departments:

- To access additional business units, beyond your pre-assigned campus list, select the specific business unit group needed.

3.9: General Ledger - Special Business Unit Access

Roles:
☐ Special Business Unit Access

3.10: General Ledger - Advanced PS Query Reporting ❓

Note: Please ensure you also have the financial inquiry roles: ARC Online Reporting (includes Financial Data Store) and Procurement Inquiry Only or one Procurement Role

Access in Reporting Instance:
☐ PS Query Reporting (Requires Training)

- PS Query reporting access (requires SQL knowledge for senior financial or technical users).

Section 4 – FinSys User Access

Section 4 lists the roles needed for viewing or transacting in FinSys. This access is set up by the school/admin unit DAF Administrator.
For a complete description of all the roles, see page 14 of this handbook.
In FinSys:

- Inquiry access allows a user to view information.
- Initiator access allows a user to create, modify, delete and view information.
- Preliminary Approver access allows a user to give preliminary approval (will not commit the transaction for processing) and to create, modify, delete and view information.
- Final Approver access allows a user to approve a transaction, and to create, modify, delete and view information.

Section 4: FINSYS/FFE User Access (Set Up by School Security DAF Administrator)
4.1: Time Entry (Casual)

Roles:
☐ Casual Time Entry Inquiry Only
☐ Casual Time Entry Initiator (Create / Modify / Delete)
☐ Casual Time Entry Preliminary Approver
☑ Casual Time Entry Final Approver

4.2: Time Entry (Bi-Weekly Support Staff)

Roles:
☐ Bi-weekly Support Staff Time Entry Inquiry Only
☐ Bi-weekly Support Staff Time Entry Initiator (Create / Modify / Delete)
☐ Bi-weekly Support Staff Time Entry Preliminary Approver
☐ Bi-weekly Support Staff Time Entry Final Approver

4.3: Time Entry (Union Weekly)

Roles:
☑ Weekly Union Time Entry Inquiry Only
☐ Weekly Union Time Entry Initiator (Create / Modify / Delete)
☐ Weekly Union Time Entry Preliminary Approver
☐ Weekly Union Time Entry Final Approver

The department(s)/node(s) is required for all modules and all role access (inquiry, initiator, approval). There is a single Inquiry selection box for sections 4.1 - 4.6, however, PAD access has a separate selection box.

4.4: Endowment Term Sheet ❓

If you have not attended the live Endowment Training before please be sure to register for the next session at https://finance.columbia.edu/content/en compliance-0

Roles:
☐ Endowment Inquiry Only

4.5: Cash Module

Roles:
☐ Cash Module Inquiry Only
☐ Cash Module Initiator (Create / Modify / Delete)
☐ Cash Module Preliminary Approver
☐ Cash Module Final Approver

4.6: Budget Tool

Roles:
☐ Budget Tool Inquiry Only
☐ Budget Tool Initiator (Create / Modify / Delete)
☐ Budget Tool Preliminary Approver
☐ Budget Tool Final Approver

* Select the following department(s)/tree node(s) for all FinSys/FFE access, except PAD. If PAD is selected, a separate department selection will open.

Viewing payroll detail is highly sensitive information and should only be requested if needed. PAD Initiator access also allows a user to budget detailed payroll in the Budget Tool.

4.7: PAD (Payroll Detail Reporting Information) ⓘ

Note: PAD Initiator role allows user to budget detailed payroll in the payroll module of budget tool. Must also have Budget Tool Initiator.Enter PAD Access for the fol department(s) / tree node(s):

PAD access is typically granted based on department-level access to data. If PAD and reporting access is needed based on ChartField attributes (project, initiative, segment) rather than departments, please complete the Financial Inquiry Application in the ServiceNow Service Catalog.

Roles:

☐ PAD (Department) Inquiry Only

☐ PAD Initiator (Create / Modify / Delete in Budget Tool Payroll module)

Section 5 – Historical Data (FY12 and earlier) Read Only Access

Section 5 lists the roles needed for reviewing historical data (FY12 and earlier) in the legacy financial systems. This access is set up by the school/admin unit DAF Administrator. As these systems are based on the departments in the previous system (FAS), the roles in this section are based on old FAS department numbers, rather than ARC departments/nodes.

Click "Yes" if roles in this section are needed. Access may be granted to:
- AP/CAR – Invoice inquiry through canned reports
- BUD/DARTS – Inquiry to the General Ledger and payroll reports
- PAD – Payroll detail in DARTS

Is access to Historical Data required?

● Yes   ○ No

Section 5: Historical Data (FY 12 and earlier) Read Only Access

5.1: Legacy System Access (Read Only) setup by DAF Administrator

Note: This grants access to AP/CAR data in the University Data Store.

☐ AP / CAR

Note: This grants access to FAS data including COB in the DataWarehouse.

☐ BUD / DARTS

Note: This grants access to payroll detail in DARTS.

☐ PAD

Submitting the Application

Once you have completed all necessary sections of the application, and have agreed to the terms of agreement, click on the "Order Now" button.

Once you have submitted the application, you will receive a security application number RITMXXXXXXX. You should use this number to locate the application in ServiceNow or reference the application with the Finance Service Center if you have any questions. You will also receive a request number REQXXXXXXX. This represents the overall request, which may have one or more "item(s)" or application(s).

Please note, the Checkout page references a delivery time of 5 days (7 if weekends are included). This is based on an average timing for approval, completion of all training (if required), and setting up system access. As the timing for manager and DAF approval and completion of training may vary, time to completion of your application may vary.

Once submitted, you (and, if applicable, the user who you requested access for) will typically receive two email communications. One is an automated email notifying that your request has been opened and including the REQ and RITM numbers. If the application contains any roles that require training, the second email provides further detail about the training requirements. This email will list the roles that were selected on the application which require training to assist in completing training.

Application Processing

Once you submit the application, the application may pass through various stages to completion:

- Manager Approval (selected in Section 1.1). Your manager is able to return the application to you for editing. You will receive an email communication if this should occur. You can locate the application by clicking "My Service Requests" in the left navigation bar, which will display all applications you have submitted. When you click on the RITM number, you can edit the application as requested and return by clicking "Resubmit to Manager for Approval". Please note, if you need to adjust the departments selected on the form, you must click "Reload", located in section 1.4 of the form. This will reload the entire list of departments belonging to the DAF Department selected.
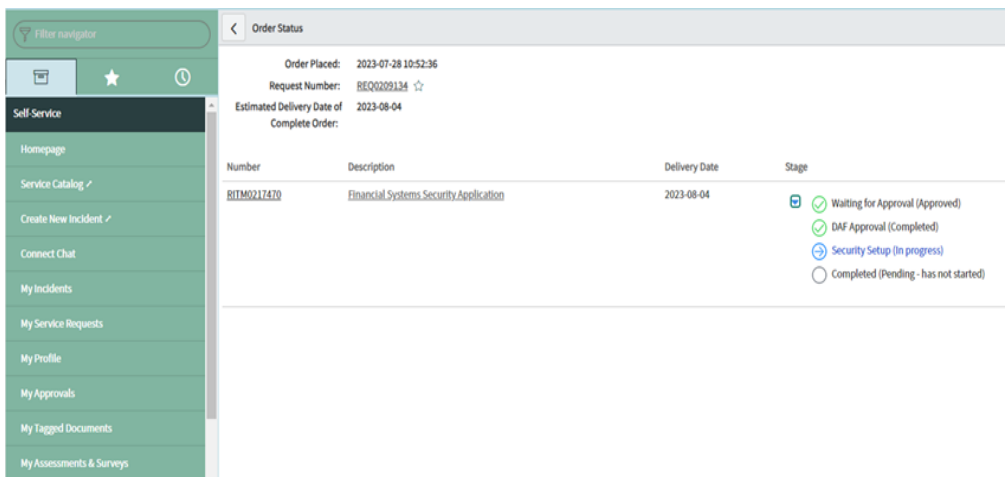
If you completed the application on behalf of another user, and you were also entered as the manager, the application will skip this step and be routed directly to the DAF Administrator for approval.

- DAF Administrator Approval (the security administrators for the school/admin unit selected in 1.4). You will receive an email confirmation when the DAF Administrator approves the request, unless you have selected any special request roles in Section 3 of the application.
- Controller's Office Approval. This approval step will only occur if you select any special request roles in Section 3 of the application. You may be contacted for further information about your request. You will receive an email confirmation when the Controller's Office approves the request.
- Finance Training Review. The Finance Training team will review that all required training has been completed by the user. They will communicate as needed on outstanding training.
- Security Set Up. The CUIT Financial Security team sets up requested roles.
- P-card. This step will only occur if you selected a P-card role in section 2.3.

Once all steps have been completed, you will receive an email confirmation that access has been established. If you are a new user, or requested to add/update any reporting or inquiry roles, please note that your access will not be active until the morning following the date of the email. Otherwise, the access requested will be available.

Application Status

You can check the status of any application submitted. Once on the ServiceNow Customer Portal, click on "Tickets", then click the "Requests" tab to see any open (or closed) requests.

In addition, a manager or DAF approver can also check the status of an application that they have approved. Click on "My Approvals" in the left navigation bar and then click on the RITM number to view the application. Once the application has opened, click on the information button to the right of the Request field and open the record.

Scroll down to the Requested Items tab, then click on the blue arrow in the "Stage" column to expand the status check.

The stages that the Financial Systems Security Application will pass through are listed in the Stage column:
- A green checkmark indicates a stage has been completed.
- A blue arrow indicates that a stage is in progress and is pending completion.
- A red "X" indicates that the application was rejected.
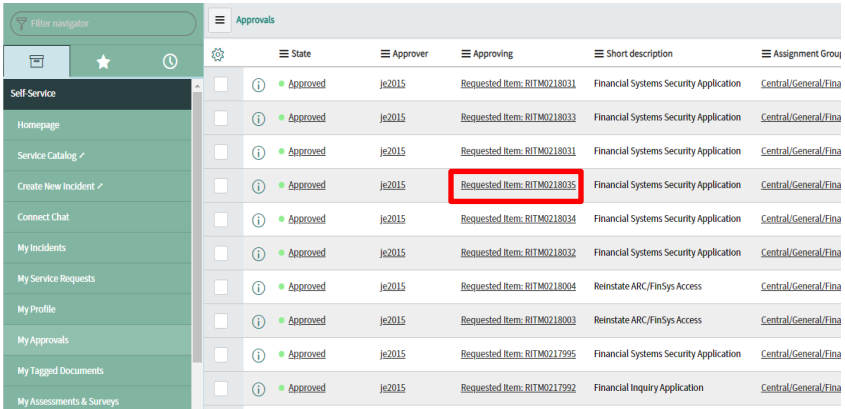
Section 5: Finance Security Applications – Manager Approval Process

All Finance security requests must be approved by the manager of the applicant. If you are listed as the manager on a security request which you did not also submit, you will receive an email notification instructing you to log into ServiceNow and approve, reject or return the application for edit. The email will indicate what type of application it is ("Financial Systems Security Application"), who requested access, and who it is requested for. If an application was completed on a user's behalf by someone who is also that user's manager, it will skip the manager approval step.

Steps to Review and Approve a Security Application
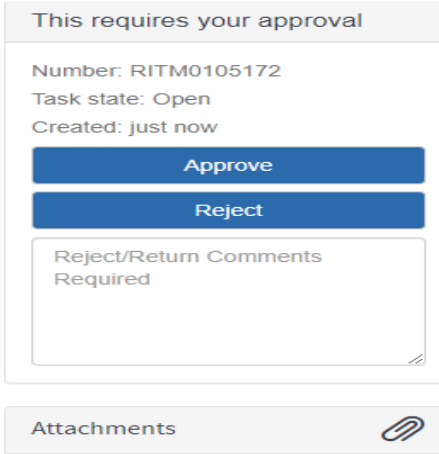
1 Log into ServiceNow using the link provided in the email.

2 In the left-hand menu of ServiceNow click on "My Approvals". From the list of security applications awaiting your approval, click on the RITM number you need to review. If you have multiple requests pending, you will need the RITM number to differentiate the items on your list.

   You also have the option of approving it in the Columbia University ServiceNow Customer Portal.

3 Once you click on the RITM number, a copy of the application form will open for your review. Information about the application, who requested the access, and who it is requested for is listed at the top. Once you are done reviewing the application, click on the arrow in the upper left corner of the request to return to your approval list.
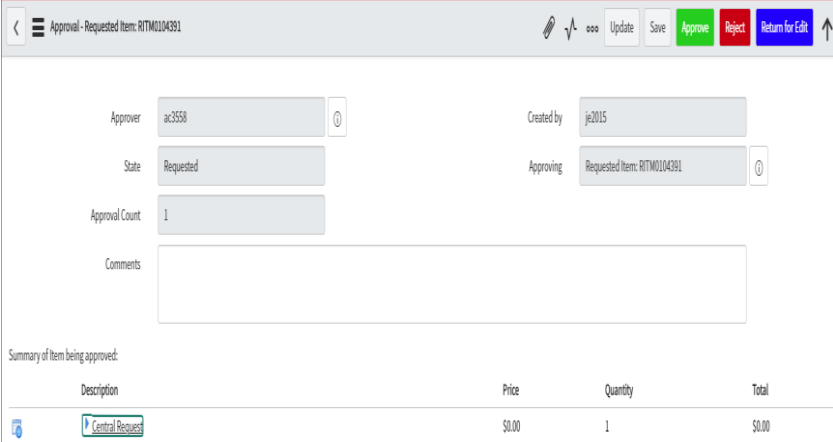
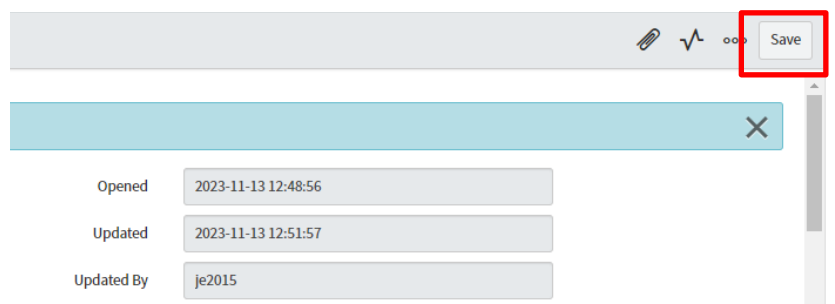**4** From the approval list, click on the "Requested" link in the "State" column next to the application you have just reviewed. An approval screen will open. To approve the request, click on "Approve". To reject the request, click on "Reject". To return the request back to the submitter to make changes, click on "Return for Edit". Please remember to include comments on these requests so that the person submitting the application knows what roles need to be updated.

The email notification that the manager received to inform that approval is pending also contains hyperlinks to approve, reject or return for edit by email.

5 Once approved, the application will be removed from your "My Approvals" queue, and sent to the DAF administrator for their review and approval.

Section 6: Finance Security Applications – DAF Administrator Approval Process

All Finance security requests must be approved by the DAF Administrator for the departments to which access is being requested. If you are listed as the DAF Administrator on a security request, you will receive an email notification instructing you to log into ServiceNow and approve or reject the application. This notification is sent after the manager has approved the request and will indicate what type of application it is ("Financial Systems Security Application") and the employee that submitted the request. If an application was completed on a user's behalf by someone who is also that user's manager, it will skip the manager approval step and route directly to the DAF Administrator.

Steps to Review and Approve a Security Application

1 Log into ServiceNow using the link provided in the email

2 In the left-hand menu of ServiceNow click on "My Approvals". From the list of security applications awaiting your approval, click on the RITM number you need to review. If you have multiple items pending, you will need the RITM number to differentiate the items on your list.
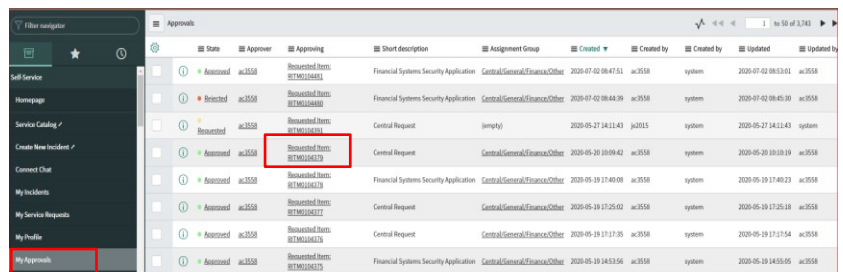
3 Once you click on the RITM number, a copy of the application form will open for your review. Information about the application, who requested the access, and who it is requested for is listed at the top. Please review the application considering the individual's roles and responsibilities, in accordance with the [DAF Policy](#).
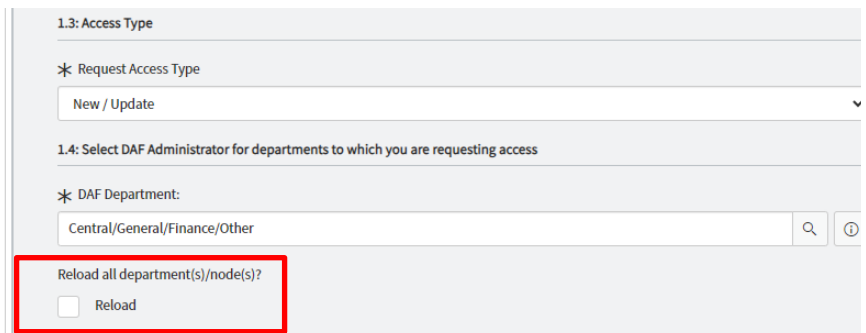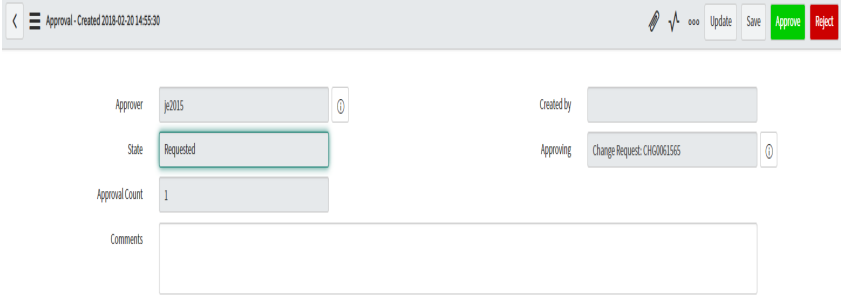

As the DAF Administrator, you have the ability to make changes to the access requested directly in the form. If you need to edit the department selections, at the top of the form under Section 1.4, select "Reload". This will reload all departments in order to edit the application.

Once you are done reviewing and making any necessary updates to the application, click on **"Save"** to save your changes. You can click on the back arrow in the upper left corner of the request to return to your approval list. You can also scroll to the bottom of the application to locate the Approvers tab.

4 From the approval list or Approvers tab, click on the "Requested" link. An approval screen will open. To approve the request, click on "Approve". To reject the request, click on "Reject". This will cancel the existing request.
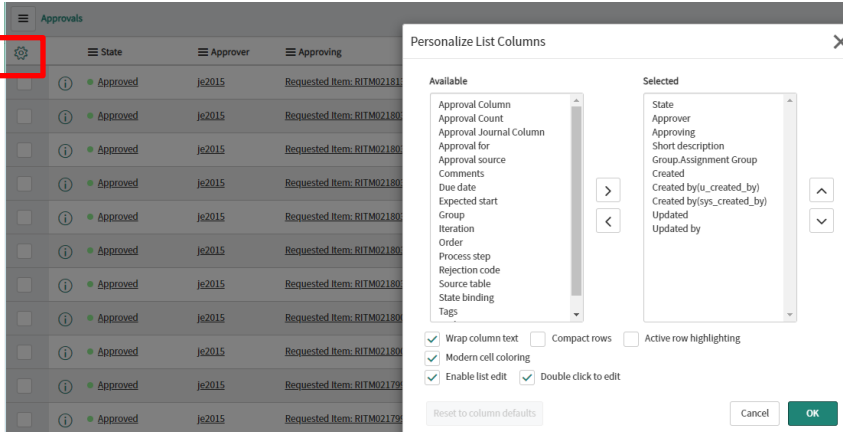
5 Once approved, the application will be removed from your "My Approvals" queue, and sent to Central Finance for training review (if training is required) and then to CUIT for processing. Applications that contain only roles with no required training will be sent directly to CUIT for processing.

6 To customize the information that is listed on the "My Approvals" tab, click on the gear screen in the upper left corner. Add or delete the fields that you wish to display.