

SUBJECT: Departmental Authorization Lists	Effective Date: 9/4/2014	Policy Number: 3-207.1	
	Supersedes: 3-207	Page 1	Of 3
	Responsible Authority: Associate Vice President for Finance and Controller		

DATE OF INITIAL ADOPTION AND EFFECTIVE DATE 1/12/2006

APPLICABILITY/ACCOUNTABILITY

This policy applies to all individuals authorized to create or approve financial transactions on behalf of the University of Central Florida. The Department Authorization List (DAL) defines single user security roles and is not intended to establish departmental policies or transactional procedures to accomplish proper internal controls.

POLICY STATEMENT

Individuals authorized to perform financial functions for assigned departments and projects must be listed on the DAL. The DAL must be verified annually and updated timely whenever staff changes occur.

DEFINITIONS

Dean, Director, or Chair (DDC). The person primarily responsible for the operations of a department or project.

Departmental Authorization List (DAL). The DAL for a department or project authorizes those employees on the list to perform certain tasks associated with financial transactions, based on their security roles.

Property Custodian (PCT). The person who assists in tracking and maintaining the department's inventory of State Property.

Responsible Fiscal Officer (RFO). The person primarily responsible for the financial activity and security for a particular department or project.

Security Roles. Allow employees to perform financial functions as assigned, such as authorizing auxiliary purchases, creating and approving requisitions, creating journal entries, approving purchasing card transactions, and transferring and declaring assets lost or missing.

PROCEDURES

Upon establishing a new department or project in UCF's PeopleSoft Enterprise Resource Planning (ERP) Financials system, Finance and Accounting will create three security roles, DDC, RFO, and PCT, based upon information obtained from the requesting department. There can only be one DDC, one RFO, and one PCT per department or project. Although the same individual can initially be assigned these roles, it is not a recommended practice. Other roles identified on the DAL can be held by more than one person (e.g., PRC = Purchasing Requisition Creator).

The DDC and/or RFO may add, change, or inactivate additional authorization types and security roles to empower selected employees to perform departmental financial transactions. These additional roles can be assigned to multiple individuals per department. The roles available to be assigned are listed on the "Department Authorization List: Security Access Codes and Descriptions" document located on Finance and Accounting's website (link listed below).

The DDC security role may be delegated to a senior member of the organization with the DDC retaining ultimate accountability. This can be accomplished by submitting a "DDC/RFO Delegation & Change Request" form to Finance and Accounting (listed below).

Depending on the security role, a person may be required to complete specific training prior to being granted related online access. Individuals granted purchasing functions are also required to sign an ethics certification form (listed below). DAL maintenance and annual verification is the responsibility of the DDC or RFO of each respective department or project.

The authorization to create or approve financial transactions provided by the DAL does not encompass the authority to sign contracts on behalf of the university. The authority to sign contracts is regulated by UCF policy 2-107.2, *Signature Authority Policy*.

RELATED INFORMATION

Departmental Authorization List: Security Access Codes and Descriptions
http://www.financials.ucf.edu/Addy_Notes/Enhanced_DAL/DAL%20Access%20Codes%20and%20Descriptions.pdf

UCF policy 2-107.3, Signature Authority Policy
<http://policies.ucf.edu/documents/2-107.3SignatureAuthorityPolicy.pdf>

FORMS

Form # 41-566B – Departmental Authorization Security Access Ethics Certification Form
<http://www.fa.ucf.edu/Forms/Others/41-566B.pdf>

Form # 41-960 – DDC/RFO Delegation & Change Request Form
<http://www.fa.ucf.edu/Forms/Others/41-960.pdf>

INITIATING AUTHORITY

Vice President for Administration and Finance and Chief Financial Officer

POLICY APPROVAL (For use by the Office of the President)	
Policy Number: <u>3-207.1</u>	
Initiating Authority: <u>Will F. Mendenhall</u>	Date: <u>9-4-14</u>
University Policies and Procedures Committee Chair: <u>Rhonda L Bishop</u>	Date: <u>8/27/2014</u>
President or Designee: <u>John C. Hill</u>	Date: <u>9/4/14</u>