

ORGANIZATION:	UCLA, Department of Psychiatry
SOP TITLE:	Post-Authorization Notification (PAN) Review and Monitoring Process
SOP VERSION:	1.01

Post-Authorization Notification (PAN) Review and Monitoring Process

1. PURPOSE

The purpose of this document is to establish a uniform procedure for the process of monitoring the timeliness of PAN reviews by mandatory reviewers. It will also outline a uniform procedure to monitor mandatory reviewers in the DACCS system.

2. SCOPE

This Standard Operating Procedure (SOP) applies to all mandatory designated reviewers of financial and other transactions as well as department leadership designated to review the timeliness of PAN by mandatory reviewers. The following procedures apply to all department employees with either responsibility to ensure financial accountability.

3. POLICY

In the management of financial transactions, it is critical to define and adhere to uniform process standards that are consistent with institutional, state, federal policies and regulatory requirements. This SOP is in accordance with UCLA Financial Policy, [Principles of Financial Accountability](#), III. Responsibilities, Section 2: Preparing and Reviewing Budgetary and Financial Transactions will ensure maintaining and securing an effective accountability structure as well as ensure both preparer and reviewers in each budgetary or financial transaction.

4. DEFINITIONS

DACSS: Distributed Administrative Computing Security System: The system where authorization for mandatory reviewers is granted and removed.

PAN: Post Authorization Notification; each PAN is a notification to a reviewer of transactions that have occurred based on the parameters set up in DACSS.

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Mandatory Reviewer: Reviews all transactions to ensure that each transaction complies with policy, regulatory, and other requirements.

Document Direct: An internal system to pull PAN reports by mandatory reviewers. Access to system is managed through DACSS and UCLA IT.

DSA: Department Security Administrator.

5. ROLES AND RESPONSIBILITIES

Mandatory Reviewer: All mandatory reviewers are required to review their PAN notification within two business days of the transaction.

Department Leadership:

- Review timeliness of mandatory reviewers for the department
- Follow-up with any mandatory reviewer that is not reviewing their PANs in accordance with the policy
- Review mandatory reviewers to ensure that adequate levels of controls are implemented, and threshold amounts are equivalent to department roles and responsibilities

6. PROCEDURE

PAN Review

- A. All department mandatory reviewers are required to review their PAN within two business days of the transaction.
 - i. If a mandatory reviewer is going on planned or extended leave, it is their responsibility to contact the DSA, a minimum of 2 business days prior to their leave to suspend PANs.
 - ii. Post Authorization Notification Inbox:
<https://pps1pan.ais.ucla.edu/panWeb/enterPAN.jsp>

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iii. Post Authorization Notification BruinBuy Plus:

<https://ucla.app.box.com/s/285qldj2bt0yiwtcbpn8di54txwd4wze>

- B. All department mandatory reviewers are required to know their mandatory reviewer profile, which can be obtained from their DSA.

Timeliness of PAN Review

- A. At least monthly, the Director of Finance or designated department administrative personnel will pull PAN reviewers to ensure timely review and follow-up with all mandatory reviewers.
- i. Go to Document Direct: <https://ddi.it.ucla.edu/>
 - ii. Open “PAN Aging Report – Active - Combined”
 - iii. Open latest available report, “PAN Aging Report – Active - Combined”
 - iv. Save report to (insert link)
- B. The Director of Finance or designee will review the “PAN Aging Report – Active - Combined” and follow-up with all mandatory reviewers that have anything in the below categories:
- i. For the time frame, $07 < D < 31$ – Send email reminders to all mandatory reviewers with copy to immediate supervisor. Although monitoring begins at 7 days, the campus review requirement still remains at 2 days.
 - ii. For the time frame, $30 < D < 61$ - Send email reminders to all mandatory reviewers with copy to immediate supervisor and Director of Finance.
 - iii. For the time frame, $60 < D < 91$ - Send email reminders to all mandatory reviewers with copy to immediate supervisor, Director of Finance. The Director of Finance will also follow up with employee.
 - iv. For the time frame, $90 < D < 121$ - Send email reminders to all mandatory reviewers with copy to immediate supervisor, and Director of Finance. The Director of Finance will follow up with immediate supervisor.
 - v. For the time frame, $120 < D < 151$ - Send email reminders to all mandatory reviewers with copy to immediate supervisor, Division Manager/Clinic Director, and Director of Finance. The Director of Finance will follow up with Division Manager/Clinic Director.

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- vi. For the time frame, $150 < D < 181$ - Send email reminders to all mandatory reviewers with copy to immediate supervisor, Division Manager/Clinic Director, Director of Finance, and CAO. The Finance Director will follow up with Division Manager/Clinic Director.
- vii. If there are any PANs over 180 days – Review by CAO to determine corrective action needed.

- C. At least semi-annually, the Document Direct Report will be saved to:
<https://app.smartsheet.com/b/form/31b8257c2c524b4f98ebb9d7c918aee5>
 - i. Due Dates: January 31 and June 30
- D. The PAN Aging report and any necessary documentation of review escalations and/or follow-up will be maintained in the Psychiatry PAN Review & Compliance Box folder: [PAN Review & Compliance | Powered by Box](#)

Review of Mandatory Reviewers

- A. At least quarterly, DSA and Division Managers will review mandatory reviewers and their thresholds to ensure accurate and effective mandatory reviewers for all PANs.
 - i. DSA will log in to <https://dacss.it.ucla.edu/landing.html>
 - ii. Go to “Reports”
 - iii. Select “Reviewers By Home Dept”
 - i. Under “Select an Home Unit” select all departments under Sub Division Code 2223
 - ii. Under “Show Employee Status,” select “Active.”
 - iii. Under “Select a Process ID,” “Select All.”
 - iv. Under “Select a Reviewer Type,” Select “Mandatory Reviewer.”
 - iv. Run Report, and Export to Excel Document
- B. DSA and Division Managers will review the report and ensure that all accesses are necessary. Report should be saved to: [PAN Review & Compliance | Powered by Box](#)

C. REFERENCES

Principles of Financial Accountability: <https://www.finance.ucla.edu/corporate-accounting/principles-of-financial-accountability>