



---

# Guidance Notes for ATA

---

## Finance

---

Last updated: Sep-2023

---

### Contents

1. Introduction	2
2. How to Log On	2
3. Home Page	2
4. Search for ATAs	3
5. Create a New ATA	4
6. Help links	9
7. Authorisation process	9
8. ATA authorisation	11
9. Managing Email Alerts	15
10. Appendix 1	16

---

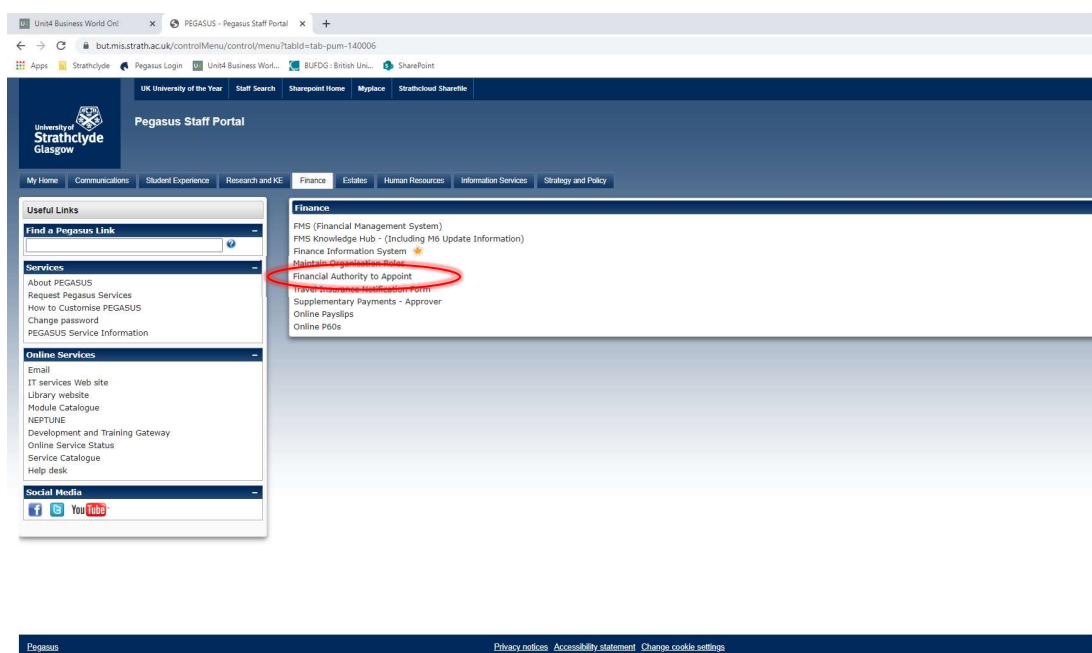
## 1. Introduction

The ATA system should be used for all staff appointments including extensions and contractual changes relating to grade or FTE. A separate ATA form should be used for each individual post.

The ATA allows key stakeholders in the recruitment process (HoD, Faculty Office) to track the progress of the authorisation electronically.

## 2. How to Log On

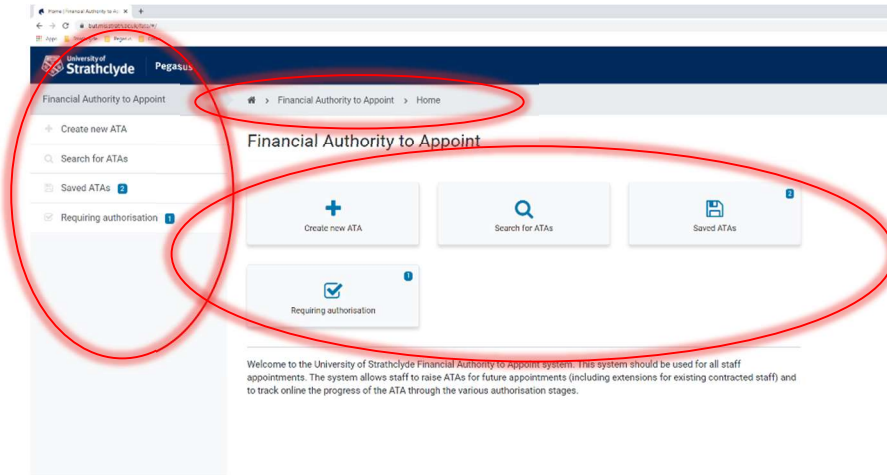
The ATA system is accessed via the **Finance** tab on Pegasus.



- Select the **Financial Authority to Appoint** link.

## 3. Home Page

Once you enter the ATA system, the first screen that you will encounter is the **Home** page. From this page you can navigate through the ATA system either by clicking on the buttons in the side bar or on the tiles on the landing page.



From this screen it is possible to:

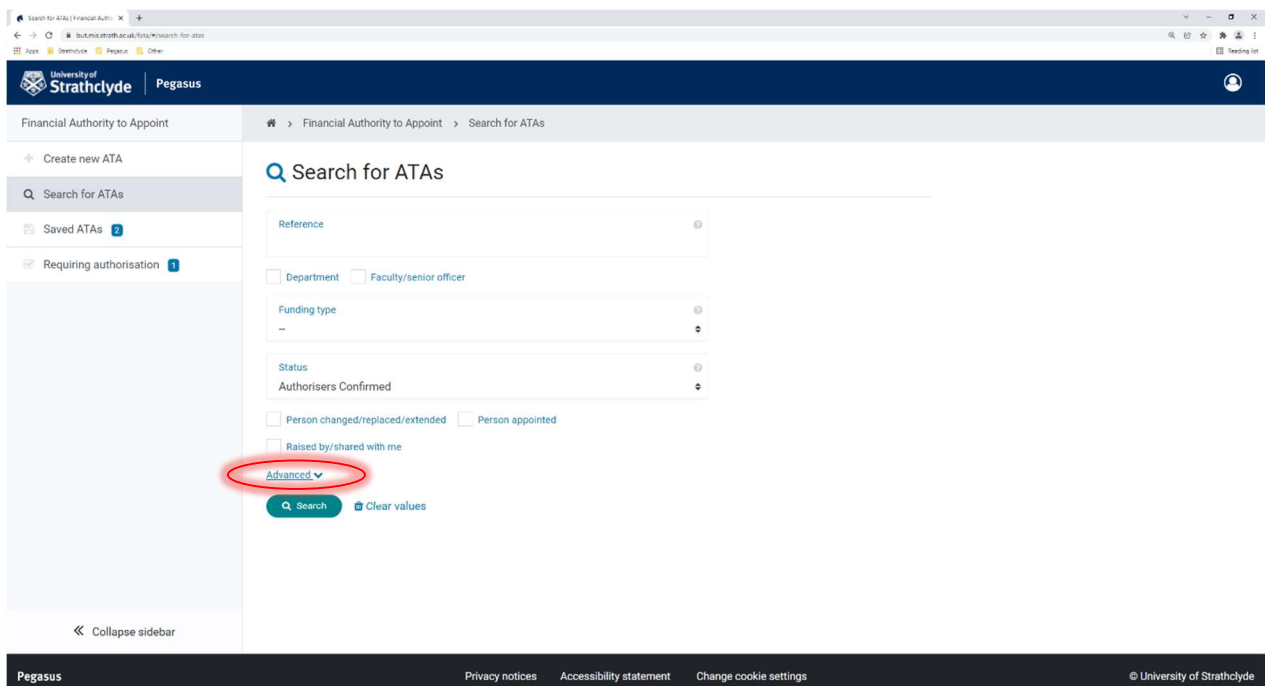
- Create new ATAs
- Search for ATAs that have been submitted
- View saved ATAs that are partially completed
- View and action ATAs that are requiring your authorisation

The number of ATAs that you have partially completed and saved in the system will be shown in the notification badge beside the **Saved ATAs** button in the sidebar and on the corresponding tile on the landing page.

The number of ATAs in the system that require your authorisation will be shown in the notification badge beside the **Requiring authorisation** button in the sidebar and on the corresponding tile on the landing page.

To return to the **Home** page from any other page in the ATA system, click on the **Financial Authority to Appoint** button in the sidebar or on the corresponding breadcrumb located on the bar along the top of the page.

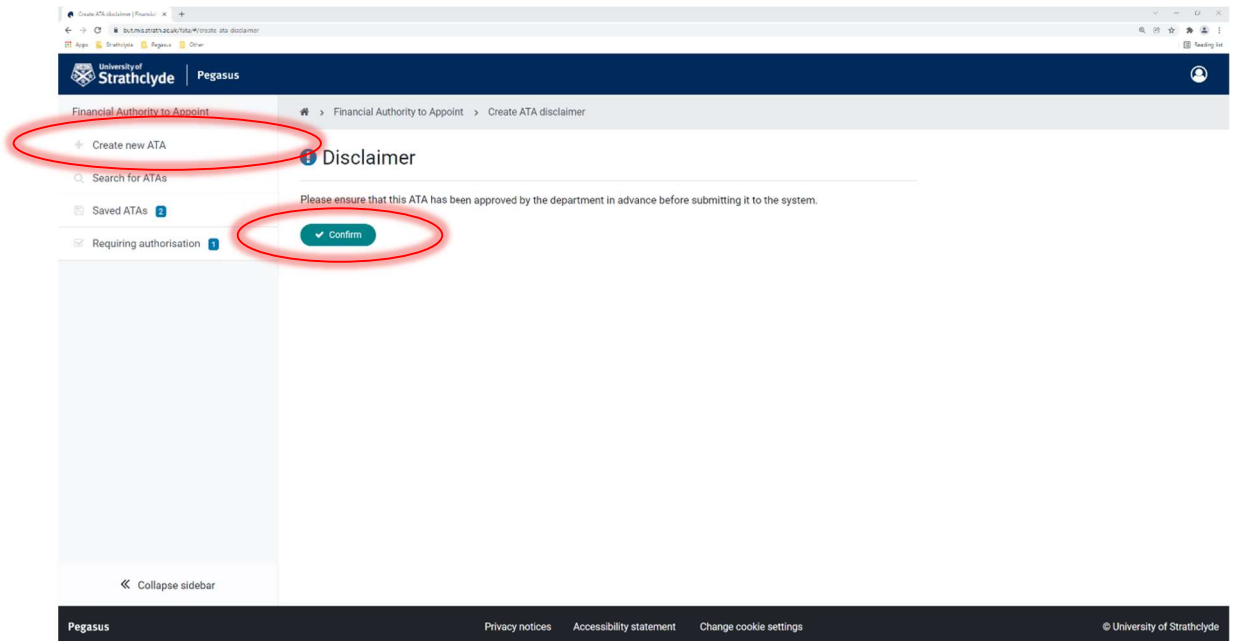
#### 4. Search for ATAs



- Searches can be performed on various parameters (**Reference, Department, Faculty/senior officer, Funding type** and **Status**). To complete a search, enter the details into the relevant fields and/or select a descriptor from the relevant dropdown lists and then click on the **Search** button.
- To access the dropdown list for **Department** or **Faculty/senior officer**, click on the corresponding checkbox.
- Searches can be further narrowed down by clicking on the other available checkboxes (**Person changed/replaced/extended, Person appointed** or **Raised by/shared with me**).
- Additional search parameters (**Post type, Created date** and **Updated date**) can be found by expanding the **Advanced** dropdown.

## 5. Create a New ATA

- To raise a new ATA, recruiters should click on the **Create new ATA** button.



- Before creating the ATA, please confirm that it has been approved by the department by clicking on the **Confirm** button on the disclaimer page.
- After clicking on the **Confirm** button, the create new ATA electronic form will open for recruiters to complete.
- There are a number of pages requiring completion:
  - Request for authority to appoint staff
  - Post information
  - Salary information
  - Funding and chargeability
  - Reasons in support of the request
  - Review and submit

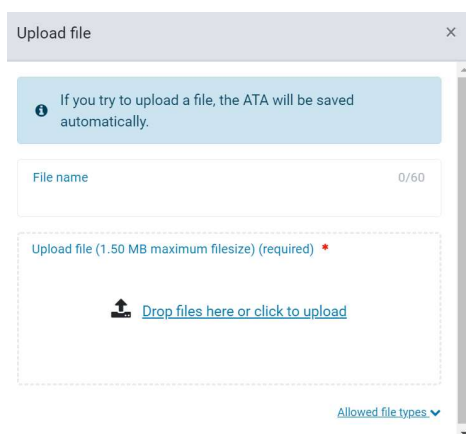
The screenshot shows the 'Create new ATA' form in the Pegasus system. The form is titled 'Request for authority to appoint staff' and includes several mandatory fields marked with a red asterisk: 'Department (required)' with the value 'Is Business Systems', 'Faculty/senior officer (required)' with the value 'Office Of The Chief Digital And Information Officer', and 'Centre/unit/course/project' with the value '0/240'. A red oval highlights the breadcrumb navigation and the form title area.

- The form includes a number of **mandatory fields which must be completed** before the ATA can be submitted for authorisation – these are all indicated by a red asterisk.
  - **Department** – This field will automatically default to the department of the person creating the ATA. However, if another department is required it can be selected from the dropdown list. The dropdown list is based on the organisational hierarchy.
  - **Faculty/senior officer** – Will automatically complete based on the selected department.
  - **Centre/unit/course/project** – This field is not mandatory but can provide helpful additional information (e.g. the research project to which a post is being appointed).
  - **Post description** – This is a free text field which must be used to provide a brief description of the post (e.g. the job title could be entered here).
  - **Advertise post** (through HR) – Recruiters should indicate using the Yes/No radio buttons whether or not this post should be advertised. An appointment must be advertised if it is a new or replacement post. No advertisement is required in the case of a contract extension or contractual change.
  - **Contract type** – From the dropdown list recruiters should indicate the contract type (Full Time, Part Time, Non Standard Fixed Fee or Non Standard Hourly Rate). If part time is selected then the FTE percentage must be provided.
  - **Working pattern** – This field need only be completed if the appointment requires a specific working pattern other than the standard Monday - Friday 9am - 5pm (e.g. mornings only).
  - **Fixed term** – Recruiters should indicate using the Yes/No radio buttons whether or not the appointment is for a fixed term post. If the post is fixed term, then the start date and end date are required. For all other posts, only the start date is required. In the case of new and replacement posts this will be indicative only.
  - **Start date** – An indicative start date is required for all posts.
  - **End date** – An end date is required when the appointment is for a fixed term post.

- **Post type** – From the dropdown list recruiters should indicate the post type (New Post, Post Replacement, Contractual Change or Extension of Post). In the case of a contractual change to an existing post or the extension of an existing post, the recruiter is required to enter additional details regarding the existing staff member.
- **Location of activity if outside UK** – Recruiters should indicate using the Yes/No radio buttons whether or not University business requires this post to be performed outside the UK for more than 182 days each year. If so, the recruiter must provide details of the location and nature/reason for the overseas activity and must also have consulted with the Faculty Dean/Executive and HR/Finance prior to raising the ATA.
- **Salary information** – Salary information can be completed in a number of ways:
  - In most cases, the grade at which the appointment is to be made will be known and this should be selected from the **Salary scale** dropdown list.
  - If there is restricted funding for the post, please select the relevant maximum salary point from the **Max salary point** dropdown list.
  - In some cases (e.g. professorial appointments) there will be no relevant salary scale. In such cases, the estimated basic salary (i.e. excluding National Insurance and Pension Contributions) should be entered in the **Basic salary** field.
  - For non-standard posts, only off scale grades will be available in the dropdown list and the **Basic salary** field will be labelled **Fixed fee** or **Hourly rate** as appropriate.
  - Except for hourly rate contracts, once this salary information has been entered the system will automatically calculate the gross annual cost of the post (i.e. including National Insurance and Pension Contributions).
- **Funding type** – The recruiter should select the funding type from the provided dropdown list.
  - This is a **critical field in determining the authorisation path for an ATA**. To avoid undue delays, if you are unsure about which funding type applies, contact your Finance Business Partner/Management Accountant (Professional Services).
  - Where a post is to be funded from more than one account/funding type, you need to know what percentage will be charged against each source of funding. The first funding type should be selected from the **Funding type** dropdown list and the relevant percentage entered in the **Percent** field. If the total percentage of entered funding types is less than 100%, the system will alert you to this.
- **Posting string** – This is made up of multiple fields including **Cost centre code**, **Subproject code**, **Activity code** and **Account code**.
  - **In order for the ATA to progress as quickly as possible, it is preferable for the recruiter to complete the posting string section of the budget code(s) against which the salary costs of the post will be charged.** If you do not know these details the fields can be left blank, but you should be aware that this could slow down the authorisation of the form. In such circumstances, a detailed description of the reasons in support of the post

(including specific details of sources of funding) is imperative. The details entered will be validated when each budget line is added to the ATA.

- **Reasons in support of the request** – Recruiters should attach a staffing case where required. This can be uploaded to the ATA system via the **Upload file** button.



A staffing case template should be completed for the following:

- All Academic, Teaching, Research and KE roles at grade 8+
- All Academic, Teaching, Research and KE roles at grade 7 that are core funded
- All APS roles
- All Technical roles
- All Modern Apprenticeships
- Extensions for all of the above (if for 6 months+)

Where no case is required, the recruiter should provide further details in the **Reasons in support of the request** field describing how the appointment will assist in the strategic objectives of the Department/School and/or Faculty/Directorate.

The following information is required:

- What is being requested (including a brief context)
- The rationale for the appointment and its fit with the Departmental, Faculty, Directorate and/or University structure and strategy
- Why the proposed appointment is the most cost-effective means of delivery
- The sustainability of the post
- Whether or not the request is within the budgeted commitment
- An overview of the Department/School's financial performance and trajectory (where appropriate) including 5-year trends information on actual and forecast financial performance (provided by your Management Accountant)

For a replacement appointment to an existing post, the case should cover the same points, so far as applicable. Additionally, information as to reason for replacement (i.e. resignation, retirement etc.) should be included and the impact of non-replacement should be set out.

- Once all details are completed, you can review them in the **Review and submit** tab. Following review, if you are happy with the data entry click the **Submit** button. The form will be validated across all fields for completeness. If it does not pass the validation then it will not submit.

Submit ×

Are you sure you want to submit this ATA?

⚠ Error, items marked with an asterisk must be entered

Submit
Cancel

- Alternatively, you can save the partially completed form for later review. Please ensure that saved ATAs are subsequently submitted as they cannot be accessed by Finance authorisers until they are submitted successfully.
- Once you have submitted an ATA it is possible to add additional recruiters to allow colleagues to view its progress. This is done on the **View ATA** page by expanding the **Share ATA** dropdown located below the ATA summary and then clicking on the **Add recruiter** button.

🔗 Share ATA

Recruiters for this ATA + Add recruiter

Name	↑↓
<a href="#">Macleod, Ms Kirsteen</a>	<span style="color: #ccc;">🗑</span>

Showing 1 to 1 of 1 entries Previous 1 Next

- If you have submitted an ATA with incorrect details then it can be edited by the Finance contact for that funding type/Faculty combination.
- When recruiting more than one post with similar details, it is possible to view an existing ATA and then click the **Reuse this ATA** button located below the ATA summary.

🔄 Reuse this ATA
🖨 Print this ATA

The recruiter will then get the following message:

Reuse this ATA ×

By reusing this ATA, you are copying all of its information (excluding uploaded files) into a new ATA form.

Reuse
Cancel

By clicking the **Reuse** button, all information will be copied into a new ATA form. Any details requiring amendment can then be edited in that form before submitting it for authorisation as usual.



- All details of a submitted ATA can be printed by clicking on the **Print this ATA** button also located below the ATA summary. This will open a prompt displaying the print preview and various other options for printing the page.

## 6. Help Links

The screenshot shows the 'Request for authority to appoint staff' form in the Pegasus system. The form includes fields for 'Department (required)', 'Faculty/senior officer (required)', and 'Centre/unit/course/project'. A red circle highlights a 'Help' icon (a question mark in a circle) located to the right of the 'Department (required)' field. The form also has 'Reset' and 'Save' buttons at the top right, and a 'Next >' button at the bottom right. The breadcrumb trail at the top reads: 'Financial Authority to Appoint > Create new ATA > Request for authority to appoint staff'.

Help links are embedded in many of the fields within the ATA system. They can be found to the right of each field and are indicated by the following icon.

Help on how to complete that particular field can be accessed by clicking on the icon. The help link can then be closed by clicking on the up arrow.

## 7. Authorisation Process

Once you have completed an ATA, it will then go through the authorisation process. This process will vary from Faculty to Professional Service depending on the type of funding.

In the first instance, email notification will be sent to the relevant member of staff in Finance. They will then have to:

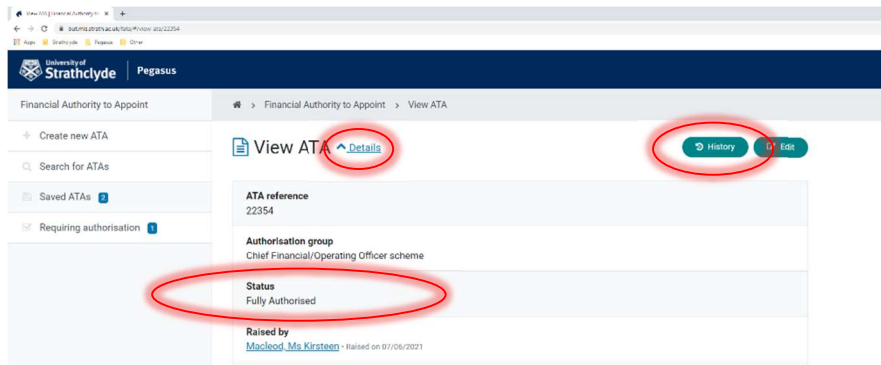
- Determine the appropriate authorisation path for that particular ATA
- Review the ATA and determine whether they are able to authorise it or not

Once these steps have been completed, email notification will be sent to the other authorisers (HoD, Faculty Officer, Grantholder in the case of research grants and contracts, Dean for Academic Departments and Head of Service, Head of Directorate and Chief Officer for Professional Services).

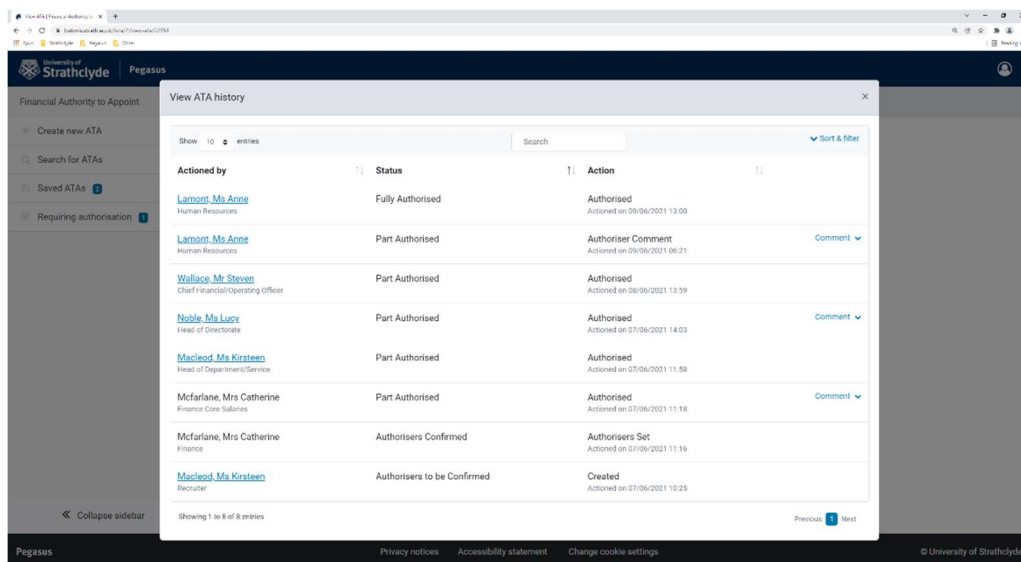
The final authorisation will be completed by HR, following, where required, consideration by ATA Group (see s8.4). Once the ATA is fully authorised, the recruiter will receive an email notification to that effect. Similarly, if any changes are made to the ATA form, or one of the approvers refuses to authorise the post, the recruiter will be notified via email.

## Viewing Status of Submitted ATAs

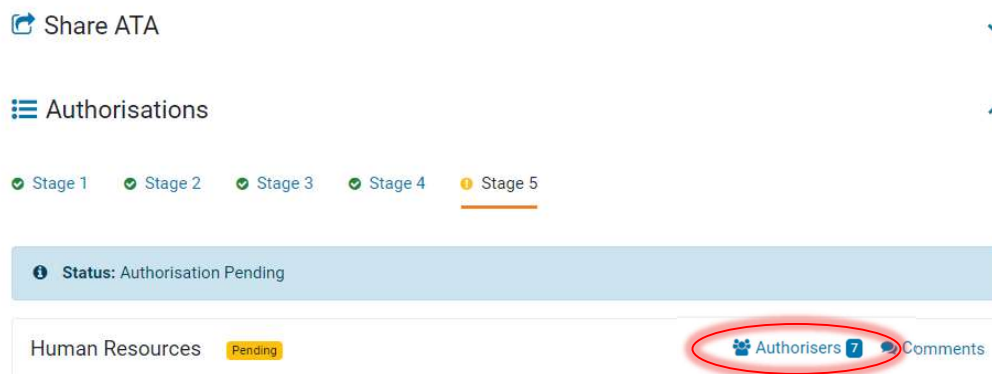
- It is possible to check the status of an ATA at any time by expanding the **Details** dropdown located to the right of the heading at the top of the **View ATA** page.



- It is also possible to view the history of an ATA by clicking on the **History** button located in the top right corner of the page. This shows which stages of authorisation have been completed and if any comments have been added by the authorisers regarding the authorisation progress (e.g. insufficient information on sources of funding, sent back to recruiter on 7 November).



- Recruiters can see which authorisation steps have yet to be completed by looking at the **Authorisations** section of an ATA. Click on the **Authorisers** button for the relevant stage to identify who can authorise the ATA at that stage.

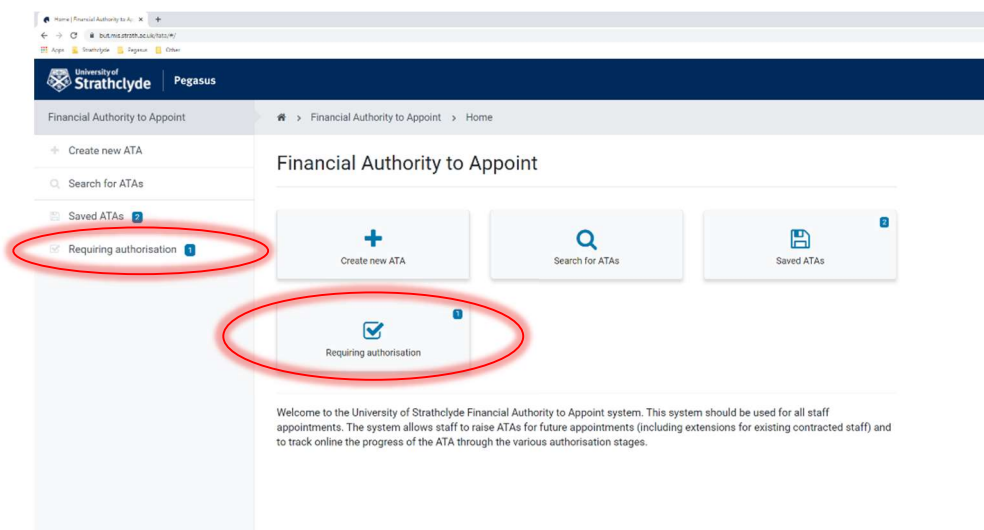


## 8. ATA Authorisation

Finance is responsible for determining the authorisation flow of an ATA, ensuring that all the appropriate approvals are obtained dependent on the Faculty/Professional Services (PS) area and funding type.

### 8.1 Stage 1 Authorisation

- Implementation of the approval workflow, and Finance authorisation shall not be given at Stage 1 of the ATA process until the **funding chargeability code has been emphatically established and is agreed by the Finance Business Partner/Assistant Finance Business Partner/Management Accountant as satisfactory**.
- Once the authorisation flow has been confirmed, an email will automatically be sent to all Finance contacts identified at stage 1 informing them that an ATA requiring their authorisation has been submitted.
- Authorisers can see on the **Home** page if there are any ATAs requiring their authorisation. The number of ATAs in the system requiring authorisation will be shown in the notification badge beside the **Requiring authorisation** button in the sidebar and on the corresponding tile on the landing page.



- To authorise an ATA, select it from the list and scroll down to the **Authorisations** section located below the ATA summary.

In practice it may not be possible to authorise an ATA immediately. In this case the authoriser should click the **Comments** button to open the comments section for the selected stage and enter the reason in the presented field. This comment can be viewed in the ATA history, letting the recruiter see that the ATA is being progressed even though it has not yet been authorised and what the exact reason for the delay is. The total number of comments for a particular stage is indicated by the notification badge beside the button.

To authorise an ATA, the authoriser should select the appropriate choice from the available radio buttons, enter any relevant comments and then click the **Submit authorisation** button.

- **Authorised** – This will progress the ATA to the next authorisation stage. Comments supporting the authorisation are required and can be entered in the available field.
- **Refused** – This will stop the ATA permanently (i.e. if it were subsequently decided that the case could progress then a new ATA would be required). This option should therefore be used with caution, after discussion with the relevant department, and supplemented with explanatory comments in the available field.

For either choice the system will prompt to ensure that the intended selection has been made.

It is possible for more than one authoriser to be named at each stage 1 authorisation. If any of them authorise the ATA, then it will progress through the flow to the next authorisation stage. In this way cover can be provided during periods of leave.

## 8.2 Stage 2 Authorisation

Submission of stage 1 authorisation automatically generates an email to any stage 2 (Head of Department/Service) authorisers. Stage 2 is a mandatory part of the authorisation process.

For stage 2 authorisers, the same functionality as stage 1 will be available to determine if there are any ATAs awaiting authorisation. Click on the required ATA and scroll down to the **Authorisations** section to authorise or refuse the ATA.

This stage also requires a response to four standard questions relating to the post. These can be answered by clicking the corresponding Yes/No radio buttons before the decision is sent. Similar to stage 1, comments can be added at any time to explain potential delays or give any other additional information relating to the stage.

Accommodation for this post already exists or requirement notified to Estates Management? (required) \*

Yes  
 No

Does the post involve regulated work with children or protected adults? Please use the PVG Self-Assessment tool available at [www.strath.ac.uk/hr/recruitment/pvg](http://www.strath.ac.uk/hr/recruitment/pvg) to help answer this question. (required) \*

Yes  
 No

Does this post involve the transport, consignment or management of stores areas relating to dangerous goods, particularly those classed as high consequence? If so, a Basic Disclosure Application will be required. (required) \*

Yes  
 No

Does this post require a Basic Disclosure check, e.g. because the role will involve frequent unsupervised contact with students? (NB all Academic and Teaching posts will require a Basic Disclosure check). (required) \*

Yes  
 No

If the Head of Department/Service requires to make any changes to the ATA, then these can be implemented through the Finance stage 1 authoriser. Any change will generate an email alert to the recruiter as well as anyone who has already submitted their authorisation.

Similarly, if authorisation is refused then email alerts will also be sent to those people. As previously stated, caution should be taken when refusing authorisation.

In practice the Head of Department/Service may delegate responsibility for authorising ATAs to a deputy or administrator. The Head of Department/Service will still be named at that stage but a secondary authoriser can be inserted and progress the ATA form on their behalf within the terms of the University's Financial Regulations. Details of any delegated authority should be communicated to the Finance Business Partner/Management Accountant (Professional Services).

### 8.3 Stage 3 Authorisation

Completion of stage 2 authorisation will generate an email alert to stage 3 authorisers if any have been activated (stage 3 is not mandatory and will only be activated for certain funding types). Stage 3 authorisers include:

Academic Departments:	Dean/Faculty Officer
Professional Services:	Head of Directorate
Research/other externally funded areas:	Grantholder

ATAs awaiting authorisation can be accessed via the **Home** page as shown above. Authorisers should again elect to submit comments if authorisation cannot be given immediately.

Any required changes can be implemented through the Finance stage 1 authoriser and will generate email alerts to the recruiter and all previous authorisers. The change details can then be viewed in the ATA history along with any other comments that might have been added. As before, comments can be added at any time including after authorisation.

As for stage 2, authority can be delegated to another member of staff by arrangement with the Finance Business Partner/Management Accountant (Professional Services).

#### **8.4 ATA Group**

ATA Group meets on a weekly basis to approve ATAs for all roles which are fully externally funded. All fully externally funded roles will be approved. However, any ATAs which ATA Group determines does not meet this criterion will then be passed to Strategic ATA Group for further consideration in the context of the University's budgetary and strategic priorities. ATA Group membership comprises the University's Vice Principal and an HR Adviser.

Following ATA approval by ATA Group the final stage of authorisation shall be undertaken with HR approval.

#### **8.5 Strategic ATA Group**

Strategic ATA Group (SATAG) meets on a weekly basis to approve ATAs for all roles which are not fully externally funded. ATAs will be considered in the context of the University's budgetary and strategic priorities. ATA Group membership comprises the University's Vice Principal and an HR Adviser.

ATA Group meets weekly and comprises the University's Vice Principal, Chief People Officer, Chief Financial Officer and an HR Adviser.

Following ATA approval by SATAG the final stage of authorisation shall be undertaken with HR approval.

#### **8.6 Stage 4 Authorisation**

Submission of stage 3 authorisation automatically generates an email alert to any stage 4 (HR) authorisers. If stage 3 is not activated then completion of stage 2 will generate the alert. Stage 4 is a mandatory part of the authorisation process.

For stage 4 authorisers, similar to all previous stages any ATAs awaiting authorisation can be accessed via the **Home** page.

Again, authorisers should elect to submit comments if authorisation cannot be given immediately. Any required changes can be implemented through the Finance contact and will generate alerts to the recruiter and authorisers from all previous stages.

As for prior stages, several authorisers can be added as standard for each Faculty/PS area in line with the HR team structure.

Once stage 4 authorisation has been submitted, an email will be sent to the recruiter informing them that the ATA has been fully authorised and what the next steps in the recruitment process are.

(Note: for Professional Services there is an additional stage 4 authorisation by the Chief Officer for the relevant directorate. In such cases, the HR authorisation will take place at stage 5).

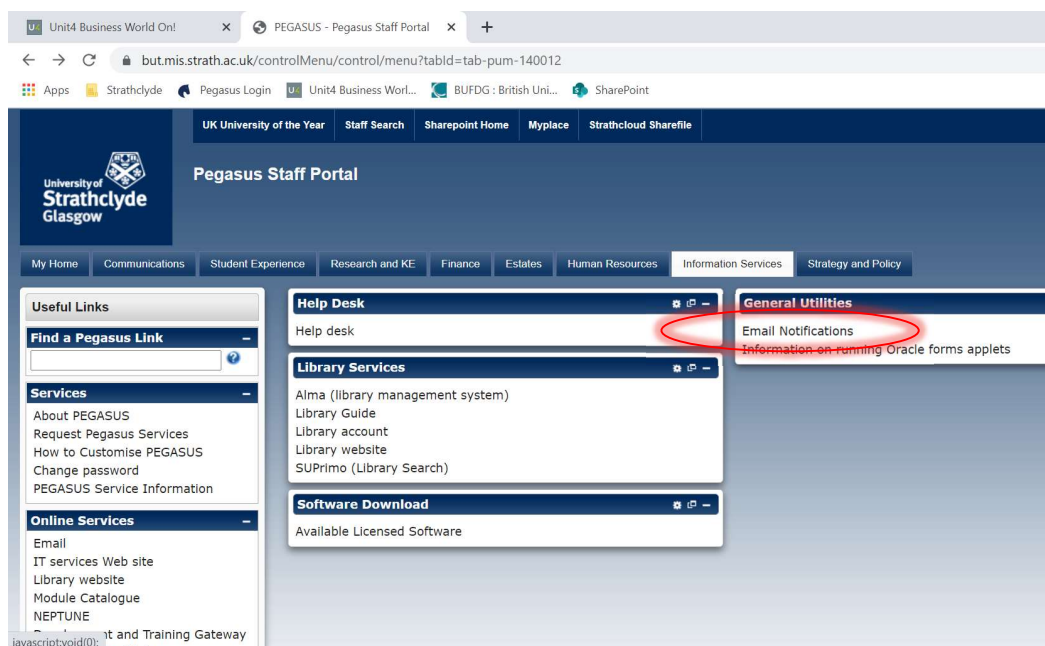
## 8.7 ATA Cancellation

An ATA can be cancelled either by the recruiter or by Finance right up to the point of recruitment. This can be done by clicking on the **Cancel** button located in the top right corner of the **View ATA** page. Before an ATA can be cancelled, reasons for the cancellation must be provided. In the event of a cancellation, email alerts are sent to the recruiter and all submitted authorisers. If an ATA is cancelled it cannot be re-activated.

## 9. Managing Email Alerts

It is possible to manage the generation of automatic email alerts. For example, a Finance authoriser may not require new ATA alerts preferring to use the search facility on a daily basis, while a secondary authoriser may only be required to switch alerts on when the primary authoriser is on leave.

- Select the **Email Notifications** link from the **General Utilities** section of the **Information Services** tab on Pegasus.



- Check or uncheck the relevant options and then click the **Apply changes** button at the bottom of the page.

## 10. Appendix 1

### 10.1 Funding Type

The funding type is a critical field in determining the authorisation path for an ATA. If you are unsure which funding type is applicable, please contact your Finance Business Partner/Management Accountant (Professional Services) in the first instance.

There are six different types of funding outlined in the ATA template, with different coding depending upon the particular type of FMS subproject. These are:

- **Core Salaries** – Core salary expenditure relates to salary expenditure funded through the core departmental salary budget (project category SAL). The core salary subproject will have a 'GEN' prefix.
- **Departmental Funds** – This category covers posts funded from a number of sources including departmental running costs, department funds general and earmarked. These will typically have a 'GEN' prefix but may in some instances have an 'STR' prefix.
- **Knowledge Exchange** – This category covers posts funded by knowledge exchange projects. These subprojects are prefixed with the letter 'K' followed by the reference from the RKES award management system (SAM).
- **Residence and Catering** – This category should only be used for posts in the Accommodation Services or catering functional areas.
- **Research Grants and Contracts** – This category is for posts funded from externally funded research grants and contracts. These subprojects are prefixed with the letter 'R' followed by the reference from the RKES award management system (SAM).
- **Earmarked SFC Grants** – This category covers posts funded from earmarked Funding Council grants. These subprojects are prefixed by the letters 'SFC'.



Further information on coding in FMS is available on the following page of the Finance website [GL Posting String](#).

It is possible to view the subprojects, by project category, for a cost centre by running the 'Subproject information (excl. Estates)' report on FMS.

## 10.2 Status

This field indicates the authorisation status of an ATA and can be used to search for existing ATAs at a particular authorisation stage. There are a number of different authorisation stages:

- **Authorisers to be Confirmed** – This is the first authorisation stage and indicates that the relevant authorisers (e.g. Finance, Head of Department, Faculty Officer, Dean, HR representative) have yet to be determined.
- **Part Authorised** – This indicates that the ATA has been authorised by some but not all of the required authorisers. It is possible to determine the authorisation progress by looking at the **Authorisations** section in the ATA or at the ATA history. Completed stages are marked green, the stage in progress is marked amber and any stages awaiting authorisation of a previous stage are marked red.
- **Fully Authorised** – This indicates that the ATA has been authorised by all of the required authorisers.
- **Authorisation Refused** – This category indicates that one of the nominated authorisers has refused to approve the ATA. It is possible to determine at which stage authorisation has been refused by looking at the **Authorisations** section in the ATA or at the ATA history.
- **Cancelled by Finance/Cancelled by Recruiter** – This status indicates that the ATA has been cancelled (either by Finance or by the recruiter) because it is no longer required.