Table of Contents

Yale Buy/Pay Best Practice................................................................. 2-4

Vendor Compliance

Vendor Verification ........................................................................... 5
Vendor Terminology ........................................................................... 6
Vendor Setup Form with Checklist .................................................... 7
Examples of W-8BEN and W-8BEN-E.............................................. 8-11
ACH/EFT Vendor Enrollment........................................................... 12

Procurement

Procurement and SciQuest Terminology........................................ 13
Preferred Purchasing Methods ....................................................... 14

SciQuest and Purchase Orders ....................................................... 15-22

Accounts Payable

Accounts Payable Terminology and Transaction Types ............... 23
Accounts Payable Payment Methods, Refunds and Voided Checks ... 24
Invoices ........................................................................................... 25-29
Procedure for submitting Split Charging for Sub K Invoices ...... 30-34
Check Requests ............................................................................... 35-43
Payments made to Yale Employees through Accounts Payable .... 44
PandA – Prizes and Awards ............................................................. 45
Study Participant Request/Clearing/Replenishment .................... 46-49

Where to Submit Transactions....................................................... 50

Yale Shared Services’ Service Level Agreements and Yale Blu .... 51

Best Practice for Identifying and Releasing Holds ....................... 52

AP Worklist .................................................................................... 53-54
AP Holds Tool ............................................................................... 55
PTAEO Validator ............................................................................ 56
Procurement Inquiry .................................................................... 57-59

Additional Resource Links ............................................................. 60
The Procure to Pay Tool Kit (formerly known as the Accounts Payable Tool Kit) has been created to serve as a reference tool for business offices.

This tool kit contains reference information such as:

- Best practices to ensure a smooth accounts payable process
- High-level process reviews to help business offices understand the flow of work throughout the procure to pay process, data entry of invoices and check requests, study participant advance, study participant replenishment/clearing, holds release processes, and Yale Shared Service’s Service Level Agreement
- Checklists against which to review your submissions
- Common Vendor and Accounts Payable Terminology
- Examples of how to appropriately fill out forms, or what components are required for a payable invoice
- Reference guides
- Contact information to verify the status of a vendor, invoice, check request, payment, or to stop payment on a check
- Contact information for reporting service issues
- Please refer to [www.yale.edu/procurement](http://www.yale.edu/procurement) (Revised February, 2015) or contact purchasing.helpdesk@yale.edu for any questions concerning:
  - Purchase Orders and/or Commitments
  - SciQuest
  - Single Use Accounts
  - Professional Service Agreements
  - Competitive Bidding
- Additional Resources and Links
Best Practice Guide to Accounts Payable at Yale University

- In preparing to purchase goods/services work with Procurement to determine best process at www.yale.edu/procurement or purchasing.helpdesk@yale.edu.
  - Work with Yale “approved” vendors at www.yale.edu/procurement using the Buying Guide @ http://buying-guide.yale.edu/

- Enroll Supplier/Vendor in ACH/EFT

- Ensure that all key/required elements for invoices and check requests are present at the time of submission

- Be aware of, and follow, all Yale University Policies and Procedures

- Adhere to the central receipt of invoice policy. Avoid submitting an invoice that the vendor is responsible for submitting

- Avoid OK2Pay invoices whenever possible.
  - Minimize direct orders from vendors without a PO (often called OK2Pay)
  - If you are ordering goods or services without a PO, instruct the vendor to include the name of the department and the individual’s name who did the ordering on the invoice. Send the invoice directly to AP to ensure timely entry and payment
  - If you must submit an OK2Pay invoice, please be sure to use the OK2Pay PTAEO stamp.
  - To discuss options to avoid OK2Pay invoices, please contact the Yale Procurement at purchasing.helpdesk@yale.edu or 203-432-9955. They will connect you with someone who can review your invoices with you and help outline your options

- Use your tools!
  - AP Worklist – identifies transactions on hold
  - Accounts Payable Holds Tool – provides information as to why a hold occurred, what needs to be done to release it, and how to avoid the hold in the future
  - Procurement Inquiry – Research specific transactions
Process Overviews: The Procure to Pay Process

Legend

<table>
<thead>
<tr>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vendor</td>
</tr>
<tr>
<td>Procurement</td>
</tr>
<tr>
<td>Accounts Payables</td>
</tr>
<tr>
<td>Vendor Compliance Unit</td>
</tr>
<tr>
<td>Treasury Services</td>
</tr>
<tr>
<td>Controller/General Counsel</td>
</tr>
</tbody>
</table>
Vendor Verification

✓ Verify vendor status prior to submitting

✓ Search by “Supplier” in Procurement Inquiry.
  o If the vendor is not found in Procurement Inquiry at www.yale.edu/start
    ▪ Vendor has not been set-up in the vendor database or
    ▪ Vendor is “inactive”
      • Vendors are inactivated if no payment has been made within 18 months
      • Best practice when requesting to have a vendor reactivated:
        o Submit a vendor set up request form to vcu@yale.edu to ensure we have the vendor’s recent/updated information
    ▪ Notification will be sent to “requestor” when vendor has been reactivated
  o Submit a Vendor Set-Up Request Form
  o Include W-9, W-8BEN or W-8BEN-E when requesting a new vendor set up or a reactivation.
    ▪ W-9 – Domestic Vendors/Non Employees
      • Note: W-9 is not required for reimbursements
    ▪ W-8BEN – Foreign Individuals ONLY (effective -9/1/14)
    ▪ W-8BEN-E – Foreign Business Entities (effective 1/1/15)
      • Note: W8BEN’s are valid for 3 years from date of signature
  o Avoid hand-written submissions
  o Email Vendor Set-Up Requests forms to vcu@yale.edu
    ▪ Please be sure to send vendor set up requests forms over as a PDF file
## Frequently Used Vendor Compliance Terminology

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACH/EFT - Automated Clearing House/Electronic Funds Transfer</td>
<td>Automated Clearing House (ACH) is an electronic network for financial transactions in the United States. ACH processes large volumes of credit and debit transactions in batches. ACH credit transfers include direct deposit payroll and vendor payments</td>
</tr>
<tr>
<td>DBA</td>
<td>“Doing Business As” an individual/business doing business under a secondary name</td>
</tr>
<tr>
<td>Debarred/Embargo</td>
<td>Doing business with the vendor is restricted by order of the US Government</td>
</tr>
<tr>
<td>E-Customs (Visual Compliance)</td>
<td>A website used to complete a compliance check using the vendor’s name and country to determine if a vendor is on an embargo list</td>
</tr>
<tr>
<td>EIN - Employee Identification Number</td>
<td>A unique number issued by the Internal Revenue Service (IRS) for domestic companies.</td>
</tr>
<tr>
<td>EPLS</td>
<td>Excluded Party List System (similar to E-Custom) A website use to verify if a business or individual is in compliance and allowed to do business with the US Government</td>
</tr>
<tr>
<td>ITIN - International Tax Identification Number</td>
<td>Tax processing number issued by the IRS for Foreign Individuals or Companies</td>
</tr>
<tr>
<td>Non-Employee</td>
<td>An individual providing services or being reimbursed by the Yale. The individual does not receive W2 wages (employee) from Yale</td>
</tr>
<tr>
<td>Petty Cash Custodian</td>
<td>An individual employed at the University who serves as a custodian and monitors petty cash funds</td>
</tr>
<tr>
<td>Supplier/Vendor</td>
<td>A person (dba) or organization that provides goods or services to the University. Both terms are used interchangeably</td>
</tr>
</tbody>
</table>
Vendor Compliance Checklist

- Complete Vendor Setup Request Form (3205 FR 01)
  - Complete for a new vendor (Check “New”)
  - Check if changing information on existing vendor (“Change” or “Add New Site”)
- List the Vendor’s legal name (as on file with the Internal Revenue Service)
- Identify the type of organization (i.e. “individual”, “Corporation”, etc.)
- Identify vendor type (i.e. “vendor”, “non-employee”, etc.)
- Provide the following:
  - Vendor=Vendor (Domestic) – W-9
  - Vendor=Vendor (Foreign Business)- W-8Ben E (Valid for 3 years)
  - Non-Employee (Domestic) - Social Security Number (W-9 or SSN recommended but not necessary for a reimbursement)
  - Non-Employee (Foreign) - International Identification Number (ITIN) and W-8Ben Form (Valid for three (3) years from date of signature)
  - Correct mailing address
  - Name of department requestor and approver (cannot be the same person)
  - Submit via email to vcu@yale.edu as a PDF file
- Note: Section for Payee Residence, Domicile or Permanent Place of Abode is important to fill out if different from “Mail Payments to”. This is important for tax reporting purposes.
- NOTE: Effective 1/1/15 the IRS requires all foreign business entities to complete the new W-8BEN-E form. Foreign Individuals will continue to complete the W-8BEN form

Form 3205 FR.01 Vendor Setup Request
Fax completed form to 432-3061, or e-mail form to requestor to vcu@yale.edu

Form 3205 FR.01 Vendor Setup Request
Fax completed form to 432-3061, or e-mail form to requestor to vcu@yale.edu

NOTE: Always complete current version of forms located @ http://policy.yale.edu/forms
Example of W-8BEN Form

Note: in order for Form W-8BEN to be complete, you must complete the highlighted fields and all other applicable fields. Please refer to the Form W-8BEN instructions at: http://www.irs.gov/pub/irs-pdf/w8ben.pdf

W-8BEN
Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

Do NOT use this form if:
- You are NOT an individual.
- You are a U.S. citizen or other U.S. person, including a resident alien individual.
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S.
- You are a beneficial owner who is claiming exemption from withholding on payments of interest or dividends.

Instead, use Form:
- W-8BEN-E
- W-8ECI
- W-8IMY

Part I  Identification of Beneficial Owner (see instructions)

1. Name of individual who is the beneficial owner
2. Country of citizenship

3. Permanent residence address (street, apt. or suite no., or rural route), do not use a P.O. box or in-care-of address:

   City or town, state or province, include postal code where appropriate:
   Country

4. Mailing address (if different from above):

   City or town, state or province, include postal code where appropriate:
   Country

5. U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)
6. Foreign tax identifying number (see instructions)
7. Reference number(s) (see instructions)
8. Date of birth (MM-DD-YYYY) (see instructions)

Part II  Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9. I certify that the beneficial owner is a resident of:

   (within the meaning of the income tax treaty)

10. See instructions: The beneficial owner is claiming the provisions of Article 7 of the treaty identified on line 9 above to claim a special rate of withholding on interest or dividends.

   Explain the reasons the beneficial owner meets the terms of the treaty article:

Part III  Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

1. I am the individual who is the beneficial owner (or an authorized representative of the beneficial owner) of all the income to which this form relates or would have related if this form were not completed by the beneficial owner.
2. The person named on line 1 of this form is a U.S. person.
3. The income to which this form relates is:
   (a) not effectively connected with the conduct of a trade or business in the United States,
   (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
   (c) the portion of a partnership's effectively connected income.
4. The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
5. For broker transactions or other exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that controls, assists, or custodies renders income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

Signature of beneficial owner (or individual authorized to sign on behalf of beneficial owner)  Date (MM-DD-YYYY)

Print name of signer  Capacity in which acting (If form is signed by beneficial owner)

For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 25647Z
Form W-8BEN (Rev. 2/2014)
**Example of W-8BEN-E Form**

**Note:** in order for Form W-8BEN-E to be complete, you must complete the highlighted fields and all other applicable fields. Please refer to Form W-8BEN-E instructions at [http://www.irs.gov/pub/irs-pdf/w8bene.pdf](http://www.irs.gov/pub/irs-pdf/w8bene.pdf)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Name of organization that is the beneficial owner</td>
</tr>
<tr>
<td>2</td>
<td>Country of incorporation or organization</td>
</tr>
<tr>
<td>3</td>
<td>Name of disregarded entity receiving the payment (if applicable, see instructions)</td>
</tr>
<tr>
<td>4</td>
<td>Chapter 3 Status (entity type) (Must check one box only):</td>
</tr>
<tr>
<td></td>
<td>Simple trust</td>
</tr>
<tr>
<td></td>
<td>Grantor trust</td>
</tr>
<tr>
<td></td>
<td>Complex trust</td>
</tr>
<tr>
<td></td>
<td>Corporation</td>
</tr>
<tr>
<td></td>
<td>Disregarded entity</td>
</tr>
<tr>
<td></td>
<td>Partnership</td>
</tr>
<tr>
<td></td>
<td>Estate</td>
</tr>
<tr>
<td></td>
<td>Government</td>
</tr>
<tr>
<td></td>
<td>Central Bank of issue</td>
</tr>
<tr>
<td></td>
<td>Tax-exempt organization</td>
</tr>
<tr>
<td></td>
<td>Private foundation</td>
</tr>
<tr>
<td></td>
<td>International organization</td>
</tr>
<tr>
<td>5</td>
<td>Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity’s applicable status):</td>
</tr>
<tr>
<td></td>
<td>Nonparticipating FFI (including a limited FFI or an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).</td>
</tr>
<tr>
<td></td>
<td>Participating FFI.</td>
</tr>
<tr>
<td></td>
<td>Reporting Model 1 FFI.</td>
</tr>
<tr>
<td></td>
<td>Reporting Model 2 FFI.</td>
</tr>
<tr>
<td></td>
<td>Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part III). See instructions.</td>
</tr>
<tr>
<td></td>
<td>Sponsored FFI. Complete Part IV.</td>
</tr>
<tr>
<td></td>
<td>Certified deemed-compliant nonregistering local bank. Complete Part V.</td>
</tr>
<tr>
<td></td>
<td>Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.</td>
</tr>
<tr>
<td></td>
<td>Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.</td>
</tr>
<tr>
<td></td>
<td>Certified deemed-compliant limited life debt investment entity. Complete Part VIII.</td>
</tr>
<tr>
<td></td>
<td>Certified deemed-compliant investment advisors and investment managers. Complete Part IX.</td>
</tr>
<tr>
<td></td>
<td>Owner-documented FFI. Complete Part X.</td>
</tr>
<tr>
<td></td>
<td>Restricted distributor. Complete Part XI.</td>
</tr>
<tr>
<td>6</td>
<td>Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address (other than a registered address).</td>
</tr>
<tr>
<td>7</td>
<td>Mailing address (if different from above).</td>
</tr>
<tr>
<td>8</td>
<td>U.S. taxpayer identification number (TIN), if required</td>
</tr>
<tr>
<td></td>
<td>9a</td>
</tr>
<tr>
<td></td>
<td>b</td>
</tr>
<tr>
<td>10</td>
<td>Reference number(s) (see instructions).</td>
</tr>
</tbody>
</table>

**For Paperwork Reduction Act Notice, see separate instructions.**

---

**Service. Solutions. Satisfaction.**

Page 9
### Part II Disregarded Entity or Branch Receiving Payment

(Complete only if a disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI’s country of residence. See instructions.)

<table>
<thead>
<tr>
<th>Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Limited Branch (see instructions).</td>
</tr>
<tr>
<td>Reporting Model 1 FFI.</td>
</tr>
<tr>
<td>U.S. Branch.</td>
</tr>
<tr>
<td>Participating FFI.</td>
</tr>
<tr>
<td>Reporting Model 2 FFI.</td>
</tr>
</tbody>
</table>

Address of disregarded entity or branch (street, apt., or suite no., or rural route). Do not use a P.O. box or in-care-of address (other than a registered address).

- City or town, state or province. Include postal code where appropriate.

- Country

<table>
<thead>
<tr>
<th>GIIN (if any)</th>
</tr>
</thead>
</table>

### Part III Claim of Tax Treaty Benefits

(If applicable) (For chapter 3 purposes only)

14 I certify that (check all that apply):

- The beneficial owner is a resident of __________________________________________ within the meaning of the income tax treaty between the United States and that country.

- The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):
  - Government
  - Tax exempt pension trust or pension fund
  - Other tax exempt organization
  - Publicly traded corporation
  - Subsidiary of a publicly traded corporation
  - Company that meets the ownership and base erosion test
  - Company that meets the derivative benefits test
  - Company with an item of income that meets active trade or business test
  - Favorable discretionary determination by the U.S. competent authority received
  - Other (specify Article and paragraph):

- The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).

15 Special rates and conditions (if applicable—see instructions):

The beneficial owner is claiming the provisions of Article and paragraph of the treaty identified on line 14a above to claim a ___% rate of withholding on (specify type of income):

Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding:

---

### Part IV Sponsored FFI

<table>
<thead>
<tr>
<th>Name of sponsoring entity:</th>
<th>GIIN of sponsoring entity:</th>
</tr>
</thead>
</table>

17 Check whichever box applies.

- I certify that the entity identified in Part I:
  - Is an investment entity;
  - Is not a QI, WP, or WT; and
  - Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity.

- I certify that the entity identified in Part I:
  - Is a controlled foreign corporation as defined in section 957(a);
  - Is not a QI, WP, or WT;
  - Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; and
  - Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.
Form W-8BEN-E (Rev. 4-2016)  Page 8

Part XXVII  Excepted Inter-Affiliate FFI
41  ☐ I certify that the entity identified in Part I:
   • is a member of an expanded affiliated group;
   • does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group);
   • does not make withholdable payments to any person other than to members of its expanded affiliated group that are not limited FFIs or limited branches;
   • does not hold an account (other than a depository account in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; and
   • has not agreed to report under §1.1471-4(d)(2)(i)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group.

Part XXVIII  Sponsored Direct Reporting NFFE (see instructions for when this is permitted)
42  Name of sponsoring entity: ________________________________________________________________
   GIIN of sponsoring entity: ________________________________________________________________
43  ☐ I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified on line 42.

Part XXX  Substantial U.S. Owners of Passive NFFE
As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see instructions for definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use this Part for reporting its controlling U.S. persons under an applicable IGA.

<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
<th>TIN</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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<td></td>
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<td></td>
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</tr>
</tbody>
</table>

Part XXX  Certification
Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:
   • The entity identified on line 1 of this form is the beneficial owner of all the income to which this form relates, in using this form to certify its status for chapter 4 purposes, or is a merchant submitting this form for purposes of section 6051W,
   • The entity identified on line 1 of this form is not a U.S. person,
   • The income to which this form relates is: (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner’s share of a partnership’s effectively connected income, and
   • For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

I agree that I will submit a new form within 30 days if any certification on this form becomes incorrect.

Sign Here

______________________________  ______________________________  ________________
Signature of individual authorized to sign for beneficial owner  Print Name  Date (MM-DD-YYYY)

☐ I certify that I have the capacity to sign for the entity identified on line 1 of this form.

Form W-8BEN-E (Rev. 4-2016)
Vendor Payment Best Practice: ACH/EFT Vendor Enrollment

*Automated Clearing House (ACH) is an electronic network for financial transactions in the United States. ACH processes large volumes of credit and debit transactions in batches. ACH credit transfers include direct deposit payroll and vendor payments.*

The Benefits of Enrolling in ACH/EFT:

- Quicker turnaround time in receiving payment
  - No more “snail mail”
- No missing checks
  - Lost in the mail
  - Wrong address on check
- No voids and reissues of check payment
- Vendor receives immediate notification via email that payment has been made and a reference/description included for payment

Enrolling suppliers/vendors on ACH/EFT:

- ACH/EFT is the preferred method of payment
- Go to: [http://policy.yale.edu/forms](http://policy.yale.edu/forms)
- Select 3205 FR.08 - ACH/EFT Vendor Enrollment Form
- Complete the form and attach a “voided” check at the bottom of the form
  - If no voided check, payee may submit routing/transit number with bank account on the bank letterhead or
  - If neither voided check nor letterhead available, please ensure all information on ACH/EFT form is correct and legible. Indicate “No Check/Letterhead Available” on form or select checkbox.
- Submit the complete with attached “voided” check to:
  - Mail – Yale Shared Services, Attention Vendor Compliance, PO Box 208314, New Haven, CT 06520-8314
  - Email – vcu@yale.edu
  - Fax – 203-432-3061
- For any questions, please contact sharedservices@yale.edu or 203-432-5394

Important Notes:

- ACH/EFT enrollment forms should never be attached or submitted with invoices or check requests. Always submit separately to addresses above.
- ACH/EFT form request should be signed by an authorized vendor representative or an email confirmation should be attached.
### Frequently Used Procurement/SciQuest Terminology

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificate of Insurance</td>
<td>Proof of insurance provided by a vendor</td>
</tr>
<tr>
<td>Competitive Bidding</td>
<td>Requesting quotes for item(s) as required by department from several vendors that can provide the same goods/services. Bidding Threshold is $10,000</td>
</tr>
<tr>
<td>Commitment</td>
<td>Funds allocated against a purchase requisition/purchase order (PO)</td>
</tr>
<tr>
<td>Contract Supplier</td>
<td>An agreement with a single vendor which consists of pre-negotiated pricing, terms, and conditions for the purchase of specific goods/services. This type of agreement is negotiated by Purchasing Services.</td>
</tr>
<tr>
<td>External Catalog or “Punch Out”</td>
<td>Suppliers who are contract suppliers with the University and provide a direct link in SciQuest to their website. Products can be chosen and brought back into your SciQuest shopping cart. Important Note: These items are NOT included in the product search function of Sciquest.</td>
</tr>
<tr>
<td>Hosted Catalog</td>
<td>Suppliers who have searchable catalogs in SciQuest</td>
</tr>
<tr>
<td>Non-Catalog</td>
<td>Suppliers who are active in SciQuest, but do NOT offer a product catalog. Orders are created by entering the product or service specific information into the Non-Catalog item</td>
</tr>
<tr>
<td>Non Contract Supplier</td>
<td>Suppliers that need to provide quotes for any goods/services that need to be purchased</td>
</tr>
<tr>
<td>Professional Service Agreements (PSA)</td>
<td>Agreements for services and/or consulting arrangements that involve total aggregate payments in excess of $10,000 per engagement. This form is also required where sensitive data is involved and the agreement is for an amount less than $10,000</td>
</tr>
<tr>
<td>Purchase Order (PO)</td>
<td>An offer to purchase and a legal commitment to supply the University with goods and/or services. Most purchase orders are generally used as a one-time purchase.</td>
</tr>
<tr>
<td>Purchase Requisition</td>
<td>The source document required to initiate a purchase order. Purchase requisitions include a description of customer requirements, valid charging and delivery instructions, and the approval of an authorized individual</td>
</tr>
<tr>
<td>Quotes</td>
<td>Verbal or written documentation providing the price, delivery and terms and conditions by an authorized representative of the company. Verbal quotes should not be accepted.</td>
</tr>
<tr>
<td>Receipt Acknowledgment</td>
<td>The acknowledgement of the receipt of goods or completion of services. When designated, this step is required before vendor payment.</td>
</tr>
<tr>
<td>SciQuest</td>
<td>Online tool to quickly and easily buy a variety of goods. Online supplier catalogs, contract pricing from Yale Contract Suppliers. Can be accessed at <a href="http://www.yale.edu/procurement">www.yale.edu/procurement</a></td>
</tr>
<tr>
<td>Single/Source</td>
<td>A vendor selling items for which price competition may be available but to whom a contract is awarded without price competition because of reasonable circumstances or the goods to be procured are unique or proprietary, or a vendor has an exclusive or territorial agency and will not meet the criteria for competition</td>
</tr>
<tr>
<td>Standard Purchase Order</td>
<td>Purchase of defined item(s) that will be billed against one invoice</td>
</tr>
<tr>
<td>Standing Purchase Order</td>
<td>Purchase of multiple items that will be billed with several invoices at different times</td>
</tr>
</tbody>
</table>
3201.3 Purchasing Methods

The University has defined standard purchasing methods for procuring goods and services for University business purposes which are listed in the chart below in order of preference.

- Refer to the University Buying Guide [5] website for guidance on selecting preferred vendors and the appropriate purchasing method: either preparing a purchase requisition or using a PCard.
- Unless otherwise specified, individuals must adhere to the purchasing method(s) identified for each Commodity.
- Regardless of the method used, documentation, authorization, compliance with policies and procedures, and individual transaction accounting integrity is the responsibility of the initiating department

<table>
<thead>
<tr>
<th>Purchasing Methods</th>
<th>Brief Description</th>
</tr>
</thead>
</table>
| Purchase Requisitions                     | • Yale’s electronic requisitioning systems, such as SciQuest and other internal subsystems, are the University’s best practice approach and are required for purchasing common goods and services See Procedure 3201 PR.01  
  • If a SciQuest requisition cannot be used for a purchase, the Yale PCard is the preferred alternative purchasing approach.                                                                                                                                                                    |
| Yale Purchasing Card                      | • Yale Purchasing Cards (P-Cards) may be used for travel and entertainment (T&E) expenses and miscellaneous small dollar (<$2000) business purchases not available through SciQuest.  
  • Note: All invoices reflective of Pcard Transactions, including “confirmation invoices”, should be sent directly to the department for validation and NOT to Yale Shared Services. This will help to decrease possible duplicate payment.  
  • All PCard transactions must be processed and approved in a timely manner using Yale’s Expense Management System (EMS).  
  • Refer to Procedure 3215 PR.01 [6], Purchasing Card and Expense Management System for more details |
| Contact Vendor Directly (Ok-to-Pay Invoices) | • OK-to-pay invoices are not appropriate for most commonly purchased goods and services and should be minimized.  
  • OK-to-Pay invoices are not appropriate for use with vendors that are available in SciQuest.                                                                                                                                                                                                 |
| Personal (Out-of-Pocket) Funds            | • In limited circumstances, small dollar purchases may be made using personal funds.  
  • Reimbursement for purchases of this type should be done via EMS                                                                                                                                                                                                                   |
Benefits of Creating a Purchase Order:

- Prioritized contract pricing
- Upfront charging validation
- Commitment is made
- Details of goods and services provided
- Terms and Conditions are met
- Workflow of payment (invoice is not handled on the back end)
- Clarity of agreement between department and vendor
Important Tips for SciQuest:

- Commodities that should **only be purchased** in SciQuest, for any dollar amount
  - Chemicals
  - Computers and Supplies
  - Lab Equipment and Supplies
  - Office Supplies
- Users are able to request new SciQuest vendors via SciQuest and are processed in 24-48 hours
- SciQuest POs should be used for conferences and other organized events, consulting services (with a Professional Service Agreement) and other professional services. OK2Pays are no longer appropriate for these goods and services.
- Commonly Used Forms – Standing Order, Change Purchase Order, Cancel PO or Close PO Commitment
- Resources - [purchasing.helpdesk@yale.edu](mailto:purchasing.helpdesk@yale.edu) : Purchasing questions and ITS Help Desk: (203) 432-9000 : Technical Questions
- Additional Information for SciQuest : [http://yalebiz.yale.edu/transactions/sciquest](http://yalebiz.yale.edu/transactions/sciquest)
**Example of a Standing Purchase Order (PO)**

- **A Standing Purchase Order should be created when the purchase of multiple items will be billed with several invoices at different times**

- **Important practices to remember concerning Standing Purchase Orders (PO)**
  - Vendor who is invoicing for goods/services needs to be the same vendor name in which the purchase order is set up for
  - A vendor should include purchase order number on all invoices being submitted against that specific purchase.
  - Charging instructions (PTAEO) used for purchase order needs to be a valid PTAEO, and should be valid during the life of the PO
  - Unit Price = $1.00 and Quantity = Total PO Amount
  - A Standing Purchase Order can be updated. *(i.e PTAEO, Dates, Additional Money)*

Note: Billing Address and Billing Information sections are included on all PO’s that the vendor receives, providing the vendor complete directions on how to invoice Yale University to ensure a smooth and accurate payment process.
Example of a Standard Purchase Order (PO)

- **A Standard Purchase Order should be created when the purchase of defined item(s) that will be billed against one invoice.**

- **Important practices to remember concerning Standard Purchase Orders (PO)**
  - No changes or updates can be made to a Standard Purchase Order (PO)
    - Cannot add money, change PTAEO, quantity etc. You must Close PO and create a new standard purchase order.
  - Vendor who is invoicing for goods/services needs to be the same vendor the PO is set up for.
  - The quantity ordered and received needs to reflect the same quantity used on PO
  - Cannot add money or quantity to an existing purchase order. A new purchase order will need to be created
  - A vendor should include purchase order number on all invoices being submitted against that specific purchase.
  - Charging instructions (PTAE0) used for purchase order needs to be a valid ptaeo, and should be valid during the life of the PO.

Note: Billing Address and Billing Information sections are included on all PO’s that the vendor receives. This provides the vendor complete directions on how to invoice Yale University to ensure a smooth and accurate payment process.
Purchases of Goods and Services

**Competitive Bidding**

- Yale’s competitive bidding threshold is $10,000
- Requirement to obtain verbal bids no longer applies
- Purchases with non-contract vendors >= $10K must be negotiated or competitively bid.
  
  For more information:
  
  [http://policy.yale.edu/procedure/3201-pr02-competitive-bidding-process](http://policy.yale.edu/procedure/3201-pr02-competitive-bidding-process)

**Professional Service Agreement (PSA)**

- Agreements for services and/or consulting that total payments in excess of $10,000 per engagement
- All agreements must be signed by an authorized signatory of the external service provider and approved and signed by authorized University official(s), as defined in Procedure 3210 PR.01, before the work begins. *Please refer to policy 3210.2 Initiating and Processing Professional Services and Consulting Agreements (PSAs) for additional information.*
- For additional questions contact purchasing@yale.edu.

**Sole Source Form**

- Departments must provide a sole source justification in situation where competition is not appropriate:
  
  [http://policy.yale.edu/forms/3205-fr03-sole-source](http://policy.yale.edu/forms/3205-fr03-sole-source)

  Note: Purchasing Services will review orders >= $10K for savings opportunities
CLOSING PURCHASE ORDER COMMITMENTS VS. CANCELING PURCHASE ORDERS

Close PO Commitments

To use when PO good/services have been fully received and fully invoiced, processed and paid. The balance, if any, needs to be relieved from the PO. (Closed)

New Process to Close PO Commitments (Beginning May 1, 2014)

Purchasing Services has upgraded the current Cancel Purchase Order Form in SciQuest to include requesting PO commitment closure.

This SciQuest form replaces the current process of emailing po.commitments@yale.edu.

Please use this new form, named Cancel PO or Close PO Commitment, when requesting either of these services.

Once form in completed in Sciquest - PO is “Finally Closed” and no future action can be taken against that specific PO

- There is NO notification sent to the vendor because it is meant as an internal commitment relief process/
- BUG 310A, can be run to view all Open PO Commitments

Note: PO commitment cannot be “Finally Closed” as long as there is an open invoice against the PO. Once invoice has been posted, PO can be finally closed and commitment relieved.

Cancel a Purchase Order

A Purchase order should be cancelled when a Purchase order has been created and either the whole PO or specific line is not needed any longer

- Department notifies the vendor that PO is being cancelled.
- Department goes into the SciQuest application and completes the appropriate form to cancel Purchase Order
Example of the Cancel Purchase Order Form

**NOTE:**

- PO is “Cancelled” but could possibly still have an outstanding invoice processed against it.
- Vendor is notified by Procurement that Purchase Order has been cancelled.
## What Can Go Wrong That Could Delay or Prevent Accurate & Timely Payment

<table>
<thead>
<tr>
<th>What Can Go Wrong That Could Delay or Prevent Accurate &amp; Timely Payment</th>
<th>What Can Be Done to Ensure a Smooth Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Vendor or site/address is not setup or active in the vendor database or set up for Sciquest</td>
<td>• Verify the vendor is active and remit to address is correct in Vendor Database. How? Check in Procurement Inquiry search by supplier, or contact the Yale Shared Service Contact Center. If the vendor is set up you can verify it is in SciQuest by searching in SciQuest</td>
</tr>
<tr>
<td>• Correct type of Purchase Order was not set up</td>
<td>• Be sure you have set up the correct type of purchase order. Standard vs Standing</td>
</tr>
<tr>
<td>• Invalid PTAEO (Charging Instructions)</td>
<td>• Verify PTAEO is valid through PTAEO validator before sending invoice to AP for payment <a href="https://www-iisp1.its.yale.edu/onlineval/ptaeoval.asp">https://www-iisp1.its.yale.edu/onlineval/ptaeoval.asp</a></td>
</tr>
<tr>
<td>• Purchase Order (PO) invalid, PO Closed, Line Item not on PO, Name on PO does not match Name of Invoice, Quantity on PO is wrong vs. Quantity on Invoice</td>
<td>• Do Not Close PO until all invoices have been processed against that specific PO</td>
</tr>
<tr>
<td>• Invalid Approver/Authorizer</td>
<td>• Do not order additional goods against an existing PO. Create new PO through SciQuest</td>
</tr>
<tr>
<td></td>
<td>• Verify Approver/Authorizer is a valid disbursement approver in START. Name and signature are legible</td>
</tr>
</tbody>
</table>

## Where to Submit

<table>
<thead>
<tr>
<th>Inquiry</th>
<th>Brief Description</th>
<th>Email Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purchasing Help Desk</td>
<td>Any questions concerning purchase orders, purchase requisitions or vendor contact information, Professional Service Agreements, Quotes.</td>
<td><a href="mailto:purchasing.helpdesk@yale.edu">purchasing.helpdesk@yale.edu</a></td>
</tr>
<tr>
<td>IT Helpdesk</td>
<td>Any technical issues with Scisquest or Procurement Web Page</td>
<td><a href="mailto:helpdesk@yale.edu">helpdesk@yale.edu</a> or call 432-9000</td>
</tr>
</tbody>
</table>
## Frequently Used Accounts Payable Terminology

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approver</td>
<td>An individual who is authorized by the University to disburse funds against their approved departmental budget</td>
</tr>
<tr>
<td>Credit Memo</td>
<td>A Credit Memo (short for &quot;credit memorandum&quot;) is a commercial document issued by a supplier that informs the buyer (Yale) that the supplier will be decreasing or crediting the amount that Yale owes in accounts payable. A credit memo is often issued when goods have been returned or Yale has been overcharged</td>
</tr>
<tr>
<td>Initiator</td>
<td>An individual requesting payment of a transaction as permitted within the “General Payment” policy.</td>
</tr>
<tr>
<td>PandA</td>
<td>Application in ORACLE used to submit a check request batch for Prize and Award payments to university students. Not to be used for International Students or prizes with split charging (PTAEO)</td>
</tr>
<tr>
<td>Payment</td>
<td>A Check, SUA, ACH/EFT has been created for payment of goods and/or services which have been fulfilled</td>
</tr>
<tr>
<td>Processed</td>
<td>A transaction has been entered into ORACLE. This is not to be interpreted as payment has been made</td>
</tr>
<tr>
<td>Purchase Order (PO)</td>
<td>An offer to purchase and a legal commitment to supply the University with goods and/or services. A purchase order is “generally” used for a one-time purchase.</td>
</tr>
</tbody>
</table>

## Accounts Payable: Transaction Types

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Brief Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vendor Invoices - Purchase Orders</td>
<td>Vendor Invoice against a standard purchase order or a University contract</td>
</tr>
<tr>
<td>Vendor Invoices – OK2Pay</td>
<td>Vendor Invoice related to a department order which is not tied to a Purchase Order</td>
</tr>
<tr>
<td>Check Requests</td>
<td>A request that a check be produced by the Accounts Payable Department in payment for items such as honoraria, royalties, subscriptions, etc.</td>
</tr>
<tr>
<td>Advances - Travel and Entertainment</td>
<td>Funds received in advance for travel and entertainment expenses to travel on University business</td>
</tr>
<tr>
<td>Advances - Study Participants Advances (SPA)</td>
<td>Funds received in advance for payment to study participants</td>
</tr>
<tr>
<td>Petty Cash Replenishments (PCR)</td>
<td>Payment to replenish cash that was disbursed for University business</td>
</tr>
<tr>
<td>Study Participants Replenishments (SPR)</td>
<td>Payment to replenish cash that was disbursed for Human Studies</td>
</tr>
<tr>
<td>Receipt Identification Form (RIF)</td>
<td>University tool to record and deposit received funds (checks and cash) to University accounts.</td>
</tr>
<tr>
<td>Sub-Award</td>
<td>Award of financial support from a prime awardee to a qualified organization for the performance of a substantive portion of the project funded under the prime award</td>
</tr>
</tbody>
</table>
Accounts Payable: Payment Methods

<table>
<thead>
<tr>
<th>Payment Method</th>
<th>Qualifications for Payment Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>Check Payment</td>
<td>▪ Domestic Payments</td>
</tr>
<tr>
<td></td>
<td>▪ International Payments</td>
</tr>
<tr>
<td>Electronic Funds Transfer (ACH/EFT)</td>
<td>▪ Direct Deposit (Automated Clearing House (ACH) transaction</td>
</tr>
<tr>
<td></td>
<td>▪ Domestic USD payments ONLY</td>
</tr>
<tr>
<td></td>
<td>▪ Wire Transfers</td>
</tr>
<tr>
<td></td>
<td>▪ International payments in requested currency</td>
</tr>
<tr>
<td>(NOTE: ACH/ EFT is the preferred payment method and is less costly than check, especially for vendors who will be paid more than once. ACH/EFT also expedites payment to payees)</td>
<td>▪ Single Use Accounts (SUA)</td>
</tr>
<tr>
<td></td>
<td>▪ Credit card payments to certain vendors</td>
</tr>
</tbody>
</table>

Document Sequence Number for each payment type:

- ACH payment document number begins with: 1xxxxxx
- SUA payment document number begins with: 4xxxxxx
- Check payment document number begins with: 3xxxxx
- Wire payment document number begins with: 4xxxx and only has 5 digits

Where do I send refunds or voided checks?

- Vendor/Non-employee refunds and requests to void a check should be sent to;
  - Shared Services, 344 Winchester Ave., as follows:
- When asking AP to void a check, you should write one of the following options on the check:
  - Void the check and Cancel the transaction
  - Void the check and Reissue the transaction
- When sending refund checks to Shared Services please include the following:
  - Valid PTAEO
  - Any supporting documentation
Process Flow – Accounts Payable Data Entry of an Invoice

What Can Go Wrong That Could Delay or Prevent Accurate & Timely Payment

- Vendor or site/address is not setup or active in the vendor database
- Invoice is incomplete or a statement has been sent to be processed
- Invalid PTAEO (Charging Instructions)
- Purchase Order (PO) invalid, PO Closed, Line Item not on PO, Name on PO does not match Name of Invoice, Quantity on PO is wrong vs. Quantity on Invoice
- Invalid Approver/Authorizer
- Illegible Invoice

What Can Be Done to Ensure a Smooth Process

- Verify the vendor is active and remit to address is correct in Vendor Database. How? Check in Procurement Inquiry search by supplier, or contact the Yale Shared Service Contact Center
- Be sure invoice includes all necessary information (key elements)
- Verify PTAEO is valid through PTAEO validator before sending invoice to AP for payment [https://www.iisp1.its.yale.edu/onlineval/ptaeoval.asp](https://www.iisp1.its.yale.edu/onlineval/ptaeoval.asp) (For transaction type choose Accounts Payable)
- Do Not Close PO until all invoices have been processed against that specific PO
- Do Not order additional goods against an existing PO. Create new PO through SciQuest
- Verify Approver/Authorizer is a valid disbursement approver in START. Name and signature are legible
Invoice Checklist

- **Key Elements of an Invoice:**
  - ✔ Document contains Name, details and contact address of the supplier/vendor. “Invoice” issometimes included on the document
  - ✔ Unique number for reference (Invoice number)
    - ▪ If an invoice number is not on the Invoice, the invoice date in ORACLE format is used (*i.e. 01-JAN-2013*)
  - ✔ Date of issuing invoice (Invoice Date)
  - ✔ Remit to address
  - ✔ Department Name, Name of Purchaser and contact information
  - ✔ Date on which the good or service was sold or delivered
  - ✔ Purchase order number (if applicable)
  - ✔ Sub-award number (if applicable)
  - ✔ Description of the goods or services rendered
  - ✔ Unit price of the good or service
  - ✔ Total amount owed or charged
  - ✔ Terms of payment (*i.e. Net 30*)
  - ✔ Any other terms and conditions
  - ✔ Use “PTAEO” stamp on all Ok2Pay invoices that are submitted for payment
  - ✔ Legible

**Note:** Accounts Payable will only process the current amount due that is listed on the invoice.
**Invoice Example – Purchase Order**

![Invoice Example Diagram]

**Vendor Letterhead**

**Invoice #**

**Invoice Date**

**Payment Terms**

**PO#**

**Goods need to be shipped and billed to Yale University**

**Item Description**

**Quantity**

**Unit Price**

**Remit to Address**

**Current Amount Due**

<table>
<thead>
<tr>
<th>Invoice #</th>
<th>Invoice Date</th>
<th>Payment Terms</th>
<th>PO#</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Invoice Address</th>
<th>Yale University</th>
<th>330 Dr. Mark Shkolnik</th>
<th>New Haven, CT 06519</th>
</tr>
</thead>
<tbody>
<tr>
<td>Remit to Address</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Goods need to be shipped and billed to Yale University**

**Vendor**

**Invoice Example – Purchase Order**

**Invoice #**

**Invoice Date**

**Payment Terms**

**PO#**

**Goods need to be shipped and billed to Yale University**

**Item Description**

**Quantity**

**Unit Price**

**Remit to Address**

**Current Amount Due**

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<tr>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

**Note:** To set up Purchase Orders, please go to [www.yale.edu/procurement](http://www.yale.edu/procurement) or contact purchasing.helpdesk@yale.edu
Note: Please be sure to use “PTAEO” stamp on all Ok2Pay invoices that are submitted for processing. This assists in legibility of PTAEO and names of initiator and approver.
Example of a Statement – NOT to be paid

Note: Reminder - Statements will not be paid by accounts payable. They do not indicate a description of goods or services, or invoice number, etc.
What Can Go Wrong

- PI approval not received or sent to an incorrect email address
- Sub-Award Invoices are sent to wrong email address for entry into Oracle
- All required data is not on invoice

What Can Be Done to Ensure a Smooth Process

- All PI approvals should be sent to yss.subawards@yale.edu
- All Sub-Award invoices should be submitted to yss.subsubcontracts@yale.edu

Note: Federal Sub K Invoices must be paid within 30 days of invoice receipt
Invoice Example – Sub Award (Sub-K) Invoice

The Miriam Hospital

Research Finance

Research Compliance Coordinator
Yale University
P.O. Box 206314
New Haven, CT 06520-8314

Prime Award No.: 1K01MH093273
Contract Period: 8/20/11 – 5/31/12
Subaward No: C12A11256(A00384)

Subject Title: ShEP for HIV Prevention in MSM: Mixed-Methods Study of Behavior & Message Framing
Billing Period: 4/1/12 – 4/30/12
Amount Due: $10,287.21

<table>
<thead>
<tr>
<th></th>
<th>Current Expenses</th>
<th>Cumulative Expenses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salary</td>
<td>$1,119.70</td>
<td>$7,237.88</td>
</tr>
<tr>
<td>Fringe</td>
<td>353.83</td>
<td>2,287.21</td>
</tr>
<tr>
<td>Supplies</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Travel</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Misc. Expense</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Total Direct Costs</td>
<td>$1,473.53</td>
<td>$5,525.19</td>
</tr>
<tr>
<td>Indirect Costs</td>
<td>117.88</td>
<td>762.02</td>
</tr>
<tr>
<td>Total Costs</td>
<td>$1,591.41</td>
<td>$10,287.21</td>
</tr>
<tr>
<td>Received to Date</td>
<td>0.00</td>
<td>$10,287.21</td>
</tr>
</tbody>
</table>

Due this invoice: $1,591.41

Mary Kostanski
Senior Research Accountant

Please make check payable TO THE MIRIAM HOSPITAL
Mail to:
Rhode Island Hospital
1200 N. Goodman Street
Providence, RI 02903

Affiliated with Brown Medical School

Invoice Number 710-9973-09
Date of Invoice: 5/15/2012
Award Alt: $20,335.23

Remit to Address:

Vendor Letterhead
Sub-Award Number
Billing Period
Current Expenses = Amount Due
Invoice Date
Procedure for Submitting SubAward (Sub K) Invoices with Split Charging

Please Remember

- A Sub K Invoice can only have split charging submitted from the work list if the split charging belongs to the same Sub K number.

- If the invoice is split charging against two separate Sub K numbers, the invoice must be submitted separately for each Sub K (Please example below)

What to do if a Sub K invoice is on their work list and requires split charging against the same SubAward (Sub K) Number

- Use the split charging function on the work list
• Enter PTAEOS and allocate the correct amount to each PTAEO, confirming the total charged equals the total on the invoice.
  
  o Save Splits
What to do if a SubAward (Sub K) invoice is on their work list and requires split charging against different Sub K Numbers

- Print the invoice
- For the first part of the split, enter in the correct PTAP.
  - Reject Invoice and be sure to include a note specifying that this is a split charge and include the amount that needs to be paid (only include a Sub K number if it is different than what is stated on the invoice)
  - Click Submit
- For the printed copy that will be submitted to YSS
  - Change the invoice amount to the balance to be paid. (Circle amount due to be paid)
- Adjust the invoice number to “invoice/invoice date” (i.e. 12345/01-JUL-2013)
- Write on invoice “amount changed due to Sub K split”
- Stamp invoice with approvals and charging
- Submit invoice to sharedservices@yale.edu
- Write “Sub K Invoice” in the subject line.

Did department receive invoice directly? (This is rare, invoices are usually on work list)

- Make two copies of the invoice
- Change the invoice amount on each invoice to reflect the split
- Adjust the second invoice to “invoice/invoice date” ex. 12345/01-JUL-2013 (this will allow the system to process the invoice twice, but will each have a unique invoice number because the date was added and it will not go on hold)
- Write” invoice amount was changed due to Sub K split” at top of invoice in RED
- Stamped both invoices with approvals and charging instructions
- Submit invoice to sharedservices@yale.edu not the Sub K email to ensure it is treated correctly as a split.
- In subject line of email include “SUBK Split Invoices” so it is routed correctly
The Benefits of Check Requests submitted in Salesforce

- Each Check Request is assigned a unique Case Number.

  **Important Notes:**
  
  - *Only one check request per email should be submitted.*
  - *New Vendors with SSN’s should require the VSR or CR to be sent to vcu@yale.edu with Tax Info*
  - *If payment is for reimbursement and no SSN is required, send CR to yss.checkrequests@yale.edu.*
  - *NO Tax Information should be sent to yss.checkrequests@yale.edu (i.e. SSN, W-9), unless sent as a separate attachment*

- Notifications are provided to department to be able to track the progress of the check request:
  
  - Receipt of Check Request
  - Additional Documentation Required
  - Sent to Tax Department for Review
  - Sent to Controller’s Office for Review/Exception
  - Check Request processed and ready for payment

- **NOTE**: The individual who submits the Check Request to yss.checkrequests@yale.edu is the individual who receives all email notification pertaining to that case
- **Example of a Notification – Check Request Received Case Number Created**

  ![Example of a Notification – Check Request Received Case Number Created](image)

- **Example of a Notification – Check Request Missing Documentation**

  ![Example of a Notification – Check Request Missing Documentation](image)
• **Example of a Notification – Tax Review Complete and Ready for Processing**

```
Dear Stacey Smart

This check request has been reviewed and approved by the Tax Office and has been returned to Accounts Payable for processing.

Case - 00133081
CR Number - 1234
Payee Name - Test 3

Thank you,
Yale University Tax Office
[ref_00DU0lg46_500U0B3KrRn ref]
```

• **Example of a Notification – Check Request has been processed and ready for payment**

```
****Please do not respond to this email. ****

Dear Colleague,

Your CR ([Case.Invoice_Number_c]) has been entered into Oracle and your case ([Case.CaseNumber]) has been closed. If necessary, you can now query your Check Request via Procurement inquiry for any additional information, such as pending holds or payment status.

If you have further questions regarding your CR, please contact the YSS Contact Center at (203) 432-5394 or by e-mail at sharedservices@yale.edu Please reference your CR Number ([Case.Invoice_Number_c]) or your case number ([Case.CaseNumber]).

Thank you,
Yale Shared Services
Email sharedservices@yale.edu
```
<table>
<thead>
<tr>
<th>What Can Go Wrong That Could Delay or Prevent Accurate &amp; Timely Payment</th>
<th>What Can Be Done to Ensure a Smooth Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Vendor or site/address is not set up or active in the vendor database</td>
<td>• Verify the vendor is active and remit to address is correct in Vendor Database. How? Check in Procurement Inquiry and search by supplier, or contact the Yale Shared Service Contact Center</td>
</tr>
<tr>
<td>• Check Request is incomplete</td>
<td>• Be sure Check Requests (CR) includes all necessary information</td>
</tr>
<tr>
<td>• Invalid PTAEO (Charging Instructions)</td>
<td>• Verify PTAEO is valid through PTAEO validator before sending invoice to AP for payment <a href="https://www-iisp1.its.yale.edu/onlineval/ptaeoval.asp">https://www-iisp1.its.yale.edu/onlineval/ptaeoval.asp</a> (For transaction type choose Accounts Payable)</td>
</tr>
<tr>
<td>• Missing Supporting Documentation</td>
<td>• Be sure all supporting documentation to support payment request is attached to CR. (i.e. Service agreements, contracts, international paperwork, honoraria letter, etc)</td>
</tr>
<tr>
<td>• Invalid Approver/Authorizer</td>
<td>• Be sure that the Approver (Authorizer) is a valid disbursement approver in START and name/signature is legible</td>
</tr>
<tr>
<td>• Check Request File Size is bigger than 5MB and is sent back to department</td>
<td>• Email is automated from Salesforce. Reduce size of PDF. Go to Quick Guide for Reducing PDF Size <a href="https://yss.yale.edu">https://yss.yale.edu</a>.</td>
</tr>
</tbody>
</table>
Accounts Payable: Check Request Form, Supporting Documentation and Form Requirements

- Example of a Check Request with Domestic Activity

### Form 3401 FR.02 Check Request

<table>
<thead>
<tr>
<th>Description</th>
<th>Project (T)</th>
<th>Task (T)</th>
<th>Award (G)</th>
<th>Exp Type (G)</th>
<th>Org (G)</th>
<th>Total Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reimburse train fare to New Haven, 11/8/15</td>
<td>11111248</td>
<td>00</td>
<td>0001AG</td>
<td>977103</td>
<td>123456</td>
<td>50.00</td>
</tr>
</tbody>
</table>

### SECTION II: Honoraria, Royalties, Commissions, Prizes, Fellowships, Awards, Study Subject PR

- Lecturer for class 124C
  - Total Amount: 4,050.00

### SECTION III: Other Payments

- Goods up to $50, direct payment of honorarium, conference fees, subscriptions, grants, memberships, etc.

### Instructions

- 3401 FR.02 Check Request
- DO NOT USE THIS FORM FOR UNIVERSITY EMPLOYEES
Accounts Payable: Check Request Form, Supporting Documentation and Form Requirements

In order to comply with federal reporting requirements, University requires additional information related to international expenses. In an effort to collect the required information in a timely and efficient manner, this information will be requested when processing check requests.

**International expense** - generally refers to any goods or services used (it doesn't matter if they are purchased in the US) in a country outside the United States or any expense related to travel for activities conducted outside the United States. For example, supplies purchased in the U.S. but shipped and used for activities conducted outside the U.S. are considered international expenses. Also, a limo expense incurred to travel to JFK to board a flight to London to speak at a conference represents an international expense. Likewise, a hotel expense while in London to speak at a conference is an international expense.

- **Example of a Check Request - International Activity paid to US Vendor**

![Check Request Form](image)

**International expense -** generally refers to any goods or services used (it doesn't matter if they are purchased in the US) in a country outside the United States or any expense related to travel for activities conducted outside the United States. For example, supplies purchased in the U.S. but shipped and used for activities conducted outside the U.S. are considered international expenses. Also, a limo expense incurred to travel to JFK to board a flight to London to speak at a conference represents an international expense. Likewise, a hotel expense while in London to speak at a conference is an international expense.

- **Example of a Check Request - International Activity paid to US Vendor**

![Check Request Form](image)
Domestic expenses - generally relate to activities conducted within the U.S. For example, expenses related to international visitors traveling to the US to teach or speak at Yale represent domestic expenses. Likewise, the cost of staff working in the U.S. on an international program represents a domestic expense.

- Example of a Check Request – Domestic Activity paid to International Vendor

Note: Please reference the International Tax Website to verify all necessary documentation accompanies the CR submitted for processing. http://tax.yale.edu/int

Select “Payment Requests for International Payees”
Accounts Payable: Check Requests & Supporting Documentation

When to use the Check Request (CR) form:

- Travel or other University business expense reimbursements to non-employees
- Professional Services, Honoraria, Prizes and Awards, Fellowships
  - Note: PandA is the preferred tool to request payment of Fellowships, Prizes and Awards, to domestic individuals with domestic bank accounts.
- Request a vendor payment for transaction without a supporting invoice, when a PCard is not an option.
  - Examples: licensing agencies, conference sponsors or journal publishers

Supporting Documentation

<table>
<thead>
<tr>
<th>Domestic</th>
<th>International</th>
</tr>
</thead>
<tbody>
<tr>
<td>Documentation that demonstrates why Yale University should pay the vendor. Please be sure to attach the supporting documentation to each request.</td>
<td>Any supporting document that demonstrates the business purpose- To verify what supporting documentation is required go to <a href="http://tax.yale.edu/int">http://tax.yale.edu/int</a></td>
</tr>
<tr>
<td>- Receipts &gt;/= $75</td>
<td>- Receipts &gt;/= $75</td>
</tr>
<tr>
<td>- Flyer, letter of invitation or email notification for guest speaker (use for honorarium payments), contract/agreements for services, entertainers etc.</td>
<td>- Flyer, letter of invitation or email notification for guest speaker (use for honorarium payments), contract/agreements for services, entertainers etc.</td>
</tr>
<tr>
<td>- CT A&amp;E Tax information (If applicable)</td>
<td>- CT A&amp;E Tax information (If applicable)</td>
</tr>
<tr>
<td></td>
<td>- International Individuals: International Info Form (IIF) or T100 Form for services provided outside of the US</td>
</tr>
<tr>
<td></td>
<td>- International Entities W8-BEN-E</td>
</tr>
<tr>
<td></td>
<td>- 8233 Tax Treaty Form (Original form with original signature required)</td>
</tr>
</tbody>
</table>
Check Requests Checklist

• **Key Elements:**

  ✓ Check Request # (TCN)
  ✓ Payee Name
  ✓ Payment Mailing Address
  ✓ Date
  ✓ Tax ID # (service payment only)
  ✓ Vendor # (if already set up by VCU)
  ✓ Type of Organization
  ✓ Special Handling Information
  ✓ Business Purpose
  ✓ Travel Dates
  ✓ PTAEO (with description)
  ✓ Preparer Name
  ✓ Authorizer Name
  ✓ Supporting Documentation
  ✓ Correct Dollar Value

• **For International Payments Only**

  ✓ All required international supporting documentation.

  ✓ Please reference the International Tax Website to verify all necessary documentation accompanies the CR submitted for processing.

  [http://tax.yale.edu/int](http://tax.yale.edu/int)

**Note:**

• **When submitting check requests for US Citizens or Resident Alien payees:**

  ✓ Do not include SSN when submitting to yss.checkrequests@yale.edu, unless sent as a separate attachment

• **When submitting check requests for Foreign Individuals**

  ✓ If the SSN starts with a 9, this is not a valid SSN, but is used for foreign individuals. You make leave that number on the CR or attached paperwork.

  ✓ Supporting documentation which includes SSN, may be included as a separate attachment in the same email as the CR submission.
Payments to Yale Employees through Accounts Payable

Per University policy, service payments to Yale Employees must normally be made through Payroll, unless the payment qualifies for an exception to University policy and the required approval(s) has been obtained. To ensure compliance, all transactions for employees of Yale University are placed on Employee of Yale hold and reviewed. Unless the payment qualifies for an independent contractor exception, the payment will be made through Payroll.

Required Approval for Exception to University Policy
Service payments made through Accounts Payable to a faculty, staff, postdoctoral associate or student employee that represent payments for services performed outside of an individual’s normal responsibilities as a faculty, staff, postdoctoral associate or student employee (e.g., consulting payments) require approval by the appropriate University Department as listed below. No exceptions can be made for temporary (casual) employees; all temporary employees should be paid through Payroll. Transactions will be reviewed to determine if the work completed is considered that of an employee (and paid through Payroll) or that of an independent contractor (and paid through Accounts Payable). In order for an employee to be paid a service payment through Accounts Payable, an exception to University policy must be obtained. The Employee vs. Independent Contractor questionnaire must be completed and approved by the Tax Department to treat the work the employee has done as that of an independent contractor. Please refer to Yale Policy 3210 PR.02, Employee V.S. Independent Contractor Determination.

<table>
<thead>
<tr>
<th>FAS Faculty</th>
<th>Director of FAS Faculty Compensation (Charging Org.)</th>
<th>See section XVIII of the Yale University Faculty Handbook for rules relating to extra payment of additional compensation to faculty. <a href="http://www.yale.edu/provost/handbook/yfhtoc.html">http://www.yale.edu/provost/handbook/yfhtoc.html</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional School Faculty</td>
<td>Business Manager (Charging Org.)</td>
<td></td>
</tr>
<tr>
<td>Medical School Faculty</td>
<td>Business Manager (Charging Org.) YSM Director H.R. Services</td>
<td></td>
</tr>
<tr>
<td>Staff</td>
<td>Human Resources Generalist</td>
<td></td>
</tr>
<tr>
<td>Student</td>
<td>Business Manager (Home and Charging Org.)</td>
<td></td>
</tr>
<tr>
<td>Post-Doctoral Associate</td>
<td>Postdoctoral Affairs and Business Manager (Charging Org.)</td>
<td></td>
</tr>
</tbody>
</table>
Accounts Payable: Processing Prize and Award Payments

PandA – Application used to submit a check request batch for Prize and Award for payments made to University Students Only.

Access PandA (Prize and Awards) through ORACLE (PUT LINK IN HERE)

- PANDA cannot be used to process prize and award payments to International Students or students with International Addresses
- PANDA cannot be used to process prize and award payments with SPLIT charging
  - For these instances – Submit to Accounts Payable on a Check Request Form

PandA Checklist

- Key Elements:

  ✓ Recipient’s UPI – Student’s 8-digit Universal Process Identifier (UPI)
  ✓ Recipient’s Name
  ✓ Preparer UPI – Preparer’s 8-digit Universal Process Identifier (UPI)
  ✓ Amount – Enter the amount of the Prize or Award in xxxx.xx format (i.e. 1500.00)
  ✓ PTAE0 – Enter in P.T.A.E.O. format (i.e. 0029363.00.0001AG.910700.780108)
  ✓ Address – Typically this can remain blank as the information will pull from the student’s permanent address from Banner
  ✓ Activity Type – (Optional). If Award is granted for International Travel, select International from the pull-down list. If Award is not for International Travel, you may choose Domestic or leave the field blank. If International, the following fields become Mandatory (If Domestic, the fields below must be left blank)
    - Primary Country – From the pull-down list, choose the country where the travel will take place
    - Primary Activity – From the pull down list, choose the primary activity expected to be performed in that country
    - Secondary Country – (Optional) – Only to be populated if a second country will be visited during the same trip
    - Secondary Activity – (Optional) – Only to be populated with type of activity performed in second country visited. (If Secondary Country is Null, this field should be Null)
    - Number of Travelers – if the award will fund international travel, enter 1
    - Number of Days of Trip – if the award will fund international travel, enter the estimated number of days of travel overseas
    - Be sure to run the VALIDATE process and review output to ensure accuracy before running the Validate and Pay Process
Process Flow – Study Participant Advance Request (SPA) and Study Participant Replenishment/Clearing (SPR)

**Process Flow – Requesting a Study Participant Advance (SPA)**

Please Note: If CASH is the preferred method of payment, the Study Participant Advance should be submitted/processed with Treasury Services

1. Study Participant Advance (SPA) is submitted to YSS for a check payment to be processed
2. SPA is reviewed for accuracy
3. AP Processor enters information into ORACLE
4. SPA is uploaded to ORACLE, and released for check payment
5. ENDS

**Process Flow – Clearing or Replenishing a Study Participant Advance (SPR)**

Please Note: If CASH is the preferred method of payment, the Study Participant Replenishment should be submitted/processed with Treasury Services

1. Study Participant Replenishment/Clearing (SPR) is submitted to YSS for clearing of original advance or a check payment for replenishment
2. SPR is reviewed for accuracy
3. AP Processor enters Information in ORACLE
4. SPR is uploaded into ORACLE and released for check payment of replenishment against original advance.

**FOR REPLENISHMENT**

SPR is uploaded into ORACLE and released for check payment of replenishment against original advance.

**CLEARING**

SPR is uploaded into ORACLE and processed. No payment is made, original SPA is cleared and closed.

ENDS
## What Can Go Wrong That Could Delay or Prevent Accurate & Timely Payment

- Forms are incomplete and missing necessary information.
- Invalid PTAEO (Charging Instructions)
- Invalid Approver/Authorizer
- Study Participant Advance # not included on Study Participant Replenishment/Clearing

## What Can Be Done to Ensure a Smooth Process

- Forms are complete.
- Verify PTAEO is valid through PTAEO validator before sending invoice to AP for payment [https://www-iisp1.its.yale.edu/onlineval/ptaeoval.asp](https://www-iisp1.its.yale.edu/onlineval/ptaeoval.asp) (For transaction type choose Accounts Payable)
- Be sure that the Approver (Authorizer) is a valid disbursement approver in START, name and signature are legible.
- Include SPA #s on all SPRs so they may be replenished or cleared properly. There should not be any comingling of advances among Principal Investigators
Study Subject Advances (SPA) and Study Subject Replenishment/Clearing (SPR) Checklist

- **Key Elements: Study Subject Advances**
  - Study Participant Advance# (TCN)
  - Advance Custodian Name (University employee responsible for fund)
  - PI Name
  - Research Study Title
  - Yale IRB # (also referred to as the Study HIC#)
  - Department and Phone Number
  - Funds Requested From: Accounts Payable or Treasury Services
  - Valid PTAEO
  - Dollar Amount
  - Billing Name and Address of where funds will be located
  - Description of where funds will be secured (i.e. locked safe in a locked room)
  - Printed Name and Signature of PI or Designee
  - Printed Name and Signature of Business Office Authorizer

- **Key Elements: Study Subject Replenishment/Clearing**
  - Study Participant Replenishment/Clearing# (TCN)
  - Replenish Through: Accounts Payable or Treasury Services
  - Advance Custodian name
  - PI Name
  - Yale IRB# (also referred to as the Study’s HIC#)
  - Campus Address
  - Department Name and Phone Number
  - Advance Custodian Email
  - Date
  - List of Study Participants’ ID Number or Name
  - Date of Payment
  - Amount
  - Valid PTAEO
  - Study Participant Advance # associated with the replenishment/clearing
  - Printed Name and Signature of Advance Custodian
  - Authorizer Signature
- Example of Study Participant Advance Request (SPA)

3417 FR.01

Human Research Study Participant Advance Request

Pl Name:

Research Study Title:

Department:

Phone:

Date:

Distribution Code

Project: [ ] Task: [ ] Award: [ ] Exp. Type: [ ] Organization: [ ] Order Amount

034191

Building name and address where the funds will be located: (note: check will be delivered to this location)

Room Number:

Describe how the funds will be secured in the space below: (locked, fireproof, immovable, etc.)

Pl or Designee name (print):

Department:

Phone:

Pl or Designee's Signature/Date:

Business Office Authorizer's Signature/Date:

Received by: (print name) [ ]

Signature/Date:

For Internal Use Only

Amount In Cash: [ ]

Amount In Traveler's Checks: [ ]

- Example of Study Participant Replenishment/Clearing (SPR)

Form 3417 FR.02

Human Research Study Participant Replenishment/Clearing

Revision date 3/3/10

Please attach additional sheets if necessary with information required by Procedure 3417.00.01

Advance/Petty Cash Custodian Name: [ ]

Yale HIB #:

SPR #: [ ]

Yale HIB #:

(Spouse or Participant Replenishment #)

Department and Phone:

Advance/Petty Cash Custodian Email:

Date:

Study ID number of Participant Receiving Funds or Name

Date of Payment

Amount

For remuneration to study participants charge $33800

Project: [ ] Task: [ ] Award: [ ] Exp. Type: [ ] Organization: [ ]

Total Expenditures:

Amount to reduce advance (SPA #) Petty cash: [ ]

Amount (Due From) (Use To):

Advance/Petty Cash on Hand before any reimbursement:

Total Approved Study Participant Advance:

Received by (print name):

Signature and Date:

The authorizer certifies that the request for study participant reimbursement is for the purpose of University business and in compliance with Yale policies and the policies of any sponsoring agencies funding these activities. Should any portion of this reimbursement be found non-compliant with Yale University policies, the advance will be reimbursed within thirty (30) days of certification.

Amount In Cash: [ ]

Submit completed form to: Accounts Payable for check reimbursement or Treasury for cash reimbursement.

Amount In Traveler's Checks:

Business Office Authorizer: Signature

Date:

For further information please refer to Policy 3417 PR.01 – Human Research Study Participant Remuneration
## Where to Submit Transactions

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Submit To</th>
</tr>
</thead>
<tbody>
<tr>
<td>Check Requests</td>
<td><a href="mailto:yss.checkrequests@yale.edu">yss.checkrequests@yale.edu</a></td>
</tr>
<tr>
<td>Invoices</td>
<td><a href="mailto:yss.invoices@yale.edu">yss.invoices@yale.edu</a></td>
</tr>
<tr>
<td>RUSH – Check Requests/Invoices</td>
<td><a href="mailto:sharedservices@yale.edu">sharedservices@yale.edu</a> In the Subject Line of your submission please include: For Check Requests “RUSH check request + CR # (i.e. RUSH Check Request – CR1234567) For Invoices “RUSH Invoice + Invoice # (i.e. RUSH Invoice – 5678)</td>
</tr>
<tr>
<td>Vendor Set Up Requests</td>
<td><a href="mailto:vcu@yale.edu">vcu@yale.edu</a></td>
</tr>
<tr>
<td>Vendor Inquiries</td>
<td><a href="mailto:sharedservices@yale.edu">sharedservices@yale.edu</a></td>
</tr>
<tr>
<td>Wire Transfers – Normal or Rushes</td>
<td><a href="mailto:wires@yale.edu">wires@yale.edu</a></td>
</tr>
<tr>
<td></td>
<td>Format in Subject Line – dept prefix-vendor name-invoice/CR# Example – LAW-Smith Corp-Inv56789</td>
</tr>
<tr>
<td>Sub Award Invoices Sent by Vendor</td>
<td><a href="mailto:yss.subcontracts@yale.edu">yss.subcontracts@yale.edu</a></td>
</tr>
<tr>
<td>PI Approved Invoice taken off AP Worklist</td>
<td><a href="mailto:yss.subawards@yale.edu">yss.subawards@yale.edu</a></td>
</tr>
<tr>
<td>Sub-Award Inquiries</td>
<td><a href="mailto:shared.services@yale.edu">shared.services@yale.edu</a></td>
</tr>
</tbody>
</table>
Yale Shared Services – Service Level Agreement (SLA)

- Service Level Agreements are posted daily on YaleBlu at http://blu.yale.edu/

<table>
<thead>
<tr>
<th>Unit/Transaction Type</th>
<th>Service Level Agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Check Requests</td>
<td>5 Business Days from Date of Receipt in Yale Shared Services</td>
</tr>
<tr>
<td>Holds Unit – Invoices on Hold</td>
<td>5 Business Days from Date of Hold</td>
</tr>
<tr>
<td>Processing Unit – Invoices/Subcontracts</td>
<td>5 Business Days from Date of Receipt in Yale Shared Services</td>
</tr>
<tr>
<td>Vendor Compliance Unit (VCU) – New Vendors and Site Set-ups</td>
<td>3 Business Days from Date of Receipt in Yale Shared Services</td>
</tr>
</tbody>
</table>

✓ Benefits of monitoring YaleBlu

- Yale community has awareness of what date Yale Shared Services is processing holds, transactions and vendor compliance.

✓ Having Awareness will

- Decrease numerous submissions of same invoice, minimizing duplicate payments
- Decrease duplicate requests for Vendor Compliance
- Decrease number of cases being sent to Contact Center
Process Flow – Releasing Transactions from Hold

Process Flow: Releasing Invoice and Check Requests from Hold

PLEASE NOTE: There is a hold tool located at http://yalebiz.yale.edu/invoice-holds-revised which will guide you in understanding what type of hold, who can work the hold, department or AP.

Best Practice Guide to Identifying & Releasing Holds

✓ Use the AP Worklist to view holds that can be released by the department approver

✓ Use Procurement Inquiry to identify if a specific transaction is on hold and not viewable on your worklist. Please contact Yale Shared Services Contact Center if you have any questions pertaining to the hold. Departments can also run Invoices on Hold Report (Formerly known as Bug 702a) located in the Data Warehouse Portal

✓ Use the Holds Tool (located on YaleBIZ, http://yalebiz.yale.edu/invoice-holds-revised) in conjunction with your AP worklist to identify the reason for the hold, how to prevent the hold, and how to release the hold. (note: the Holds tool is searchable by holds name and/or action owner (i.e. department, AP, VCU, tax)
Accounts Payable: Tools – The AP Worklist

Key Features:

- AP Worklist is an online tool for Yale Business Offices to electronically view, update, approve or reject transactions on hold.
- Transactions are routed to AP Worklist when an action needs to be taken by the department.
- AP Worklist will list up to 50 transactions on hold.
- Review transaction on hold.
- Types of actions include: No charging instructions (PTAEO or invalid PTAEO), Approval Required, Confirmation of receipt of goods/services.
- Ability to view invoice images and reason for hold.
- Once department takes action and submits, there is an immediate release of the hold.
  - Immediate update in Oracle
  - No Accounts Payable Intervention
How to Work the Hold on the AP Worklist

- Once you click on the specific transaction that is on hold it will navigate to the “Detail Screen” where you can add/edit information in the following fields
  - Action Required is listed
  - Update PTAE0
  - Verify Receipt of Goods/Services
  - In the “Comment” field, review if there are any notifications from Accounts Payable
  - Include Initiator
  - Approve/Reject and Enter Comments for Rejection
    - If rejected, hold is routed back to AP to follow up.
- Please remember when providing “split charges” the AP Worklist has a limit of 10 lines.

Note: If further detailed training is needed, please go to The AP Worklist Quick Guide at http://yss.yale.edu
Accounts Payable: Tools – Holds Tool

Below you will find a snapshot of the Holds Tool. This tool allows the end user to search for a hold type in a variety of ways. The tool provides you with the former hold name, the action owner, the hold reason, action needed, cause of hold, and prevention information.

In the example below, the Holds Tool was filtered by department. There are 16 different holds types that fall under the ownership of a department.

The tool can be found at: [http://yalebiz.yale.edu/invoice-holds-revised](http://yalebiz.yale.edu/invoice-holds-revised)

We suggest saving it to your internet favorites!
Online PTAEO Validator

- The PTAEO validator is a useful tool for departments to use before sending transactions over to be processed for payment. [https://www.iisp1.its.yale.edu/onlineval/ptaeoval.asp](https://www.iisp1.its.yale.edu/onlineval/ptaeoval.asp)

  - When using the PTAEO Validator, to validate for an Accounts Payable transaction, remember:
    - Check the Accounts Payable Button
    - As of Date (MM/DD/YYYY) refers to the date on the invoice when goods or services were rendered, not the date you are doing the validation.
Procurement Inquiry

- *Procurement Inquiry* is a web-based tool which allows University employees to query and view the status of a requisition, purchase order, invoice, check request, VIP or supplier.
- Access Procurement Inquiry at [www.yale.edu/start](http://www.yale.edu/start) or open the START menu, click on "Yale Admin Menu"
- Select “Procurement Inquiry”

Select Specific Search in Procurement Inquiry

- By Invoice, Check Request, Advances and Replenishments

Helpful Tips:

- Uncheck Match Case at bottom left of screen
- This Screen is also where you would search the status of a Check Request, Petty Cash Replenishment, Study Participant Advances and Replenishments
- If not certain of the exact invoice number %partial invoice number%
  - Example: Actual Invoice Number is NYS 124, search would be %NYS%
• By Supplier/Vendor

Tips to Search

• By VIP

Tips to Search
By Purchase Order

Tips to Search

By Requisition Number

Tips to Search

If further detailed training is needed, please go to The Procurement Inquiry Quick Guide at http://yss.yale.edu
Additional Resources and Links

- University Policies & Procedures - [http://policy.yale.edu/](http://policy.yale.edu/)
- University Form - [http://policy.yale.edu/forms](http://policy.yale.edu/forms)
- Accounting/Finance Website - [http://finance.yale.edu/financial-activities/staff](http://finance.yale.edu/financial-activities/staff)
- Questions concerning OFAC Compliance Protocol - donald.deyo@yale.edu
- Complete Buyers Guide - [www.yale.edu/procurement](http://www.yale.edu/procurement)
- International Tax Information - [http://tax.yale.edu/int](http://tax.yale.edu/int)
- International Activities - [http://yalebiz.yale.edu/content/international-activities](http://yalebiz.yale.edu/content/international-activities)
- Yale BLU - [http://blu.yale.edu/](http://blu.yale.edu/)
- PTAEO validator - [https://www-iisp1.its.yale.edu/onlineval/ptaeoval.asp](https://www-iisp1.its.yale.edu/onlineval/ptaeoval.asp)
- Link to AP Department Quick Guides - [http://yss.yale.edu](http://yss.yale.edu)