**Transaction Type** | **Key Controls and Other Considerations** | **Transaction Report Standards** | **After-the-Fact Transaction Review Recommended?** | **Source Documents** | **Documentation & Retention** | **Central Office Document Retention** | **Department Access Instructions**
---|---|---|---|---|---|---|---
**Procurement** | | | | | | | |
**maintenance-Pay & Invoicing (Electrons)** | Transaction is pop-up window or department approval prior to being processed. Approved record is then submitted to “HINT” or to AHR receipted. | A/P:  AP System transaction record; Check, Requests (CR) if paid by A/P on a fixed basis. | No | Documentation examples include invoice, agreement or letter. | Department must retain source documentation. | N/A:See University financial reconciliation policies for retention of records. | Original source documentation related to local department files. | |
**Purchase Requisition (Manual)** | Transaction is pop-up window or department approval prior to being processed. Approved record is then submitted to “HINT” or to AHR receipted. | A/P:  AP System transaction record; Check, Requests (CR) if paid by A/P on a fixed basis. | No | Documentation examples include invoice, agreement or letter. | Department must retain source documentation. | N/A:See University financial reconciliation policies for retention of records. | Original source documentation related to local department files. | |
**Payroll Requisitions** | Transaction is pop-up window or department approval prior to being processed. Approved record is then submitted to “HINT” or to AHR receipted. | A/P:  AP System transaction record; Check, Requests (CR) if paid by A/P on a fixed basis. | No | Documentation examples include invoice, agreement or letter. | Department must retain source documentation. | N/A:See University financial reconciliation policies for retention of records. | Original source documentation related to local department files. | |
**HRSP Advance** | Transaction is pop-up window or department approval prior to being processed. Approved record is then submitted to “HINT” or to AHR receipted. | A/P:  AP System transaction record; Check, Requests (CR) if paid by A/P on a fixed basis. | No | Documentation examples include invoice, agreement or letter. | Department must retain source documentation. | N/A:See University financial reconciliation policies for retention of records. | Original source documentation related to local department files. | |
**P/A Processes** | Transaction is pop-up window or department approval prior to being processed. Approved record is then submitted to “HINT” or to AHR receipted. | A/P:  AP System transaction record; Check, Requests (CR) if paid by A/P on a fixed basis. | No | Documentation examples include invoice, agreement or letter. | Department must retain source documentation. | N/A:See University financial reconciliation policies for retention of records. | Original source documentation related to local department files. | |
**P/A Processes** | Transaction is pop-up window or department approval prior to being processed. Approved record is then submitted to “HINT” or to AHR receipted. | A/P:  AP System transaction record; Check, Requests (CR) if paid by A/P on a fixed basis. | No | Documentation examples include invoice, agreement or letter. | Department must retain source documentation. | N/A:See University financial reconciliation policies for retention of records. | Original source documentation related to local department files. | |
**P/A Processes** | Transaction is pop-up window or department approval prior to being processed. Approved record is then submitted to “HINT” or to AHR receipted. | A/P:  AP System transaction record; Check, Requests (CR) if paid by A/P on a fixed basis. | No | Documentation examples include invoice, agreement or letter. | Department must retain source documentation. | N/A:See University financial reconciliation policies for retention of records. | Original source documentation related to local department files. | |
**P/A Processes** | Transaction is pop-up window or department approval prior to being processed. Approved record is then submitted to “HINT” or to AHR receipted. | A/P:  AP System transaction record; Check, Requests (CR) if paid by A/P on a fixed basis. | No | Documentation examples include invoice, agreement or letter. | Department must retain source documentation. | N/A:See University financial reconciliation policies for retention of records. | Original source documentation related to local department files. | |
**P/A Processes** | Transaction is pop-up window or department approval prior to being processed. Approved record is then submitted to “HINT” or to AHR receipted. | A/P:  AP System transaction record; Check, Requests (CR) if paid by A/P on a fixed basis. | No | Documentation examples include invoice, agreement or letter. | Department must retain source documentation. | N/A:See University financial reconciliation policies for retention of records. | Original source documentation related to local department files. | |
**P/A Processes** | Transaction is pop-up window or department approval prior to being processed. Approved record is then submitted to “HINT” or to AHR receipted. | A/P:  AP System transaction record; Check, Requests (CR) if paid by A/P on a fixed basis. | No | Documentation examples include invoice, agreement or letter. | Department must retain source documentation. | N/A:See University financial reconciliation policies for retention of records. | Original source documentation related to local department files. | |
### Petty Cash Vouchers
**Debenture by Treasury Services**

- **Transaction Type**: Petty Cash Voucher
- **Processing Requirements**: Petty Cash Voucher is required for transaction processing.
  - **Preparation**: Cashier reconcile Petty Cash Voucher, Submit to Purchasing Officer, Submit to AP Department.
  - **Approval**: Petty Cash Voucher must be approved by Purchasing Officer.
  - **Reconciliation**: Petty Cash Voucher is reconciled to Purchasing Officer.
  - **Payment**: Petty Cash Voucher is processed for payment.

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Report Standards</th>
<th>After-the-Fact Verification Recommended?</th>
<th>Source Documents</th>
<th>Departmental Document Retention</th>
<th>Central Office Document Retention</th>
<th>Department Access Instructions</th>
</tr>
</thead>
</table>

### Sub-Award Invoices

- **To be Phased Out**
- **Shipping** in progress through Accuship & e-Ship Global
- **Not approved in department prior to processing**
- **Account Holder Report Package**

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Report Standards</th>
<th>After-the-Fact Verification Recommended?</th>
<th>Source Documents</th>
<th>Departmental Document Retention</th>
<th>Central Office Document Retention</th>
<th>Department Access Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sub-Award Invoice</td>
<td>Sub-Award Invoice Report</td>
<td>Yes</td>
<td>Sub-Award Invoice</td>
<td>Sub-Award Invoice Report</td>
<td>Sub-Award Invoice Report</td>
<td>Sub-Award Invoice Report</td>
</tr>
</tbody>
</table>

### Purchase: Oracle - Purchase Order & Related Documents

- **Approval** in department prior to processing
- **Mandatory training required for Approvers**
- **SciQuest capture of Preparer/Approver information (Initiator is not required)**
- **Approver must be an authorized 'Approver' on START Disbursement Approver List**
- **Transaction is approved by authorized department approver prior to being processed**

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Report Standards</th>
<th>After-the-Fact Verification Recommended?</th>
<th>Source Documents</th>
<th>Departmental Document Retention</th>
<th>Central Office Document Retention</th>
<th>Department Access Instructions</th>
</tr>
</thead>
</table>

### Receiving Invoice Payables

- **Mandatory training required for Approvers**
- **SciQuest capture of Preparer/Approver information (Initiator is not required)**
- **Approver must be an authorized 'Approver' on START Disbursement Approver List**
- **Transaction is approved by authorized department approver prior to being processed**

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Report Standards</th>
<th>After-the-Fact Verification Recommended?</th>
<th>Source Documents</th>
<th>Departmental Document Retention</th>
<th>Central Office Document Retention</th>
<th>Department Access Instructions</th>
</tr>
</thead>
</table>

### Invoices

- **Activity Review Report**
- **Need Help for Procurement Inquiry?** Contact A/P Helpdesk at aphelpdesk@yale.edu or 2-5394

<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Report Standards</th>
<th>After-the-Fact Verification Recommended?</th>
<th>Source Documents</th>
<th>Departmental Document Retention</th>
<th>Central Office Document Retention</th>
<th>Department Access Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invoice</td>
<td>Invoice Report</td>
<td>Yes</td>
<td>Invoice</td>
<td>Invoice Report</td>
<td>Invoice Report</td>
<td>Invoice Report</td>
</tr>
<tr>
<td>Transaction Type</td>
<td>Key Controls and Other Considerations</td>
<td>Transaction Report Standards</td>
<td>After-the-Fact Transaction Review Recommended?</td>
<td>Source Documents</td>
<td>Departmental Document Retention</td>
<td>Central Office Document Retention</td>
</tr>
<tr>
<td>------------------</td>
<td>--------------------------------------</td>
<td>-------------------------------</td>
<td>---------------------------------------------</td>
<td>-----------------</td>
<td>-------------------------------</td>
<td>---------------------------------</td>
</tr>
<tr>
<td>Travel &amp; Expense Advances Paid by AT check</td>
<td>- A request is submitted to the Facilities Call Center via phone, email, or the RIS Portal. - The RIS Portal validates PTAEO when billing is processed. - The system captures Initiator information if provided by Preparer (use is not enforced by system).</td>
<td>N/A Quarterly</td>
<td>No</td>
<td>Travel or Expense Request Form</td>
<td>N/A</td>
<td>No</td>
</tr>
<tr>
<td>Travel &amp; Expense Advances Paid by Treasury Services with cash or traveler's checks</td>
<td>- A request is submitted to the Facilities Call Center via phone, email, or the RIS Portal. - The RIS Portal validates PTAEO when billing is processed. - The system validates PTAEO, Vendor &amp; duplicate invoice numbers at time of processing.</td>
<td>N/A Quarterly</td>
<td>No</td>
<td>Travel or Expense Request Form</td>
<td>N/A</td>
<td>No</td>
</tr>
<tr>
<td>Wire Transfers (Outbound Wire Transfers)</td>
<td>- A request is submitted to the Facilities Call Center via phone, email, or the RIS Portal. - The RIS Portal validates PTAEO when billing is processed. - The system validates PTAEO, Vendor &amp; duplicate invoice numbers at time of processing.</td>
<td>N/A Quarterly</td>
<td>No</td>
<td>Wire Transfer Request Form (paper) &amp; Wire Transfer Request Form (Portal)</td>
<td>N/A</td>
<td>No</td>
</tr>
</tbody>
</table>

**Internal Service Providers**

<table>
<thead>
<tr>
<th>Internal Service Provider</th>
<th>Key Controls and Other Considerations</th>
<th>Transaction Report Standards</th>
<th>After-the-Fact Transaction Review Recommended?</th>
<th>Source Documents</th>
<th>Departmental Document Retention</th>
<th>Central Office Document Retention</th>
<th>Department Access Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>TeleCom</td>
<td>- A request is submitted through START, and is approved by authorized department approver prior to being processed. - A request is submitted through START, and is approved by authorized department approver prior to being processed.</td>
<td>N/A Monthly</td>
<td>No</td>
<td>AHR Payee/Transaction Activity Review Report</td>
<td>N/A</td>
<td>No</td>
<td>Dependent access to data is available through Group Procurement Inquiry. Need Help for Procurement Inquiry? Contact AP Helpdesk at <a href="mailto:aphelpdesk@yale.edu">aphelpdesk@yale.edu</a> or 2-5394.</td>
</tr>
<tr>
<td>Facilities</td>
<td>- A request is submitted through START, and is approved by authorized department approver prior to being processed. - A request is submitted through START, and is approved by authorized department approver prior to being processed.</td>
<td>N/A Monthly</td>
<td>No</td>
<td>AHR Payee/Transaction Activity Review Report</td>
<td>N/A</td>
<td>No</td>
<td>Dependent access to data is available through Group Procurement Inquiry. Need Help for Procurement Inquiry? Contact AP Helpdesk at <a href="mailto:aphelpdesk@yale.edu">aphelpdesk@yale.edu</a> or 2-5394.</td>
</tr>
<tr>
<td>ITS</td>
<td>- A request is submitted through START, and is approved by authorized department approver prior to being processed. - A request is submitted through START, and is approved by authorized department approver prior to being processed.</td>
<td>N/A Monthly</td>
<td>No</td>
<td>AHR Payee/Transaction Activity Review Report</td>
<td>N/A</td>
<td>No</td>
<td>Dependent access to data is available through Group Procurement Inquiry. Need Help for Procurement Inquiry? Contact AP Helpdesk at <a href="mailto:aphelpdesk@yale.edu">aphelpdesk@yale.edu</a> or 2-5394.</td>
</tr>
<tr>
<td>RSS</td>
<td>- A request is submitted through START, and is approved by authorized department approver prior to being processed. - A request is submitted through START, and is approved by authorized department approver prior to being processed.</td>
<td>N/A Monthly</td>
<td>No</td>
<td>AHR Payee/Transaction Activity Review Report</td>
<td>N/A</td>
<td>No</td>
<td>Dependent access to data is available through Group Procurement Inquiry. Need Help for Procurement Inquiry? Contact AP Helpdesk at <a href="mailto:aphelpdesk@yale.edu">aphelpdesk@yale.edu</a> or 2-5394.</td>
</tr>
</tbody>
</table>
### Stockroom-YSM & Kline
- System validates PTAEO & status for HR, Banner, and Visa at time of processing.
- Stockroom distributes detailed invoices to departments on a weekly basis.
- All ISPs must be centrally registered.
- ISP is centrally registered.
- Preparer appears on financial transaction reports in the transaction description field.
- The system validates PTAEO when billing is uploaded to Oracle JSA.
- Receipt is provided at point of sale.
- Purchaser signature is electronically captured at point of sale.
- System enforces separation of duties between the Initiator/Preparer, and the Approver although pay will be authorized after the fact.
- Purchaser must be a valid stockroom card holder.
- Stockroom Card Purchases:
  - ISP is centrally registered.
  - System validates PTAEO when billing is uploaded to Oracle JSA.
  - Purchasing system validates PTAEO when entered, and when billing is approved by the approver.
  - Purveyor to system validates PTAEO when billing is processed.
  - YARC System validates PTAEO when entered, and when billing is approved by the approver.

### TIF (Kock)
- System validates PTAEO & Preparer (person ordering) information.
- Preparer appears on financial transaction reports in the transaction description field.
- The system validates PTAEO when billing is processed.
- Preparer appears on financial transaction reports.
- System Validations for PTAEO and status for HR, Banner and Visa at time of processing.
- System enforces separation of duties between the Initiator/Preparer, and the Approver although pay will be authorized after the fact.
- Purchaser must be a valid stockroom card holder.
- Stockroom Card Purchases:
  - ISP is centrally registered.
  - System validates PTAEO when billing is uploaded to Oracle JSA.
  - Purchasing system validates PTAEO when entered, and when billing is approved by the approver.
  - Purveyor to system validates PTAEO when billing is processed.
  - YARC System validates PTAEO when entered, and when billing is approved by the approver.

### Pathology Services
- System validates PTAEO & Preparer (person ordering) information.
- Preparer appears on financial transaction reports in the transaction description field.
- The system validates PTAEO when billing is processed.
- Preparer appears on financial transaction reports.
- System Validations for PTAEO and status for HR, Banner and Visa at time of processing.
- System enforces separation of duties between the Initiator/Preparer, and the Approver although pay will be authorized after the fact.
- Purchaser must be a valid stockroom card holder.
- Stockroom Card Purchases:
  - ISP is centrally registered.
  - System validates PTAEO when billing is uploaded to Oracle JSA.
  - Purchasing system validates PTAEO when entered, and when billing is approved by the approver.
  - Purveyor to system validates PTAEO when billing is processed.
  - YARC System validates PTAEO when entered, and when billing is approved by the approver.

### Other Misc. ISPs
- Stockroom transactions are approved by the approver.
- The system validates PTAEO when billing is processed.
- Preparer appears on financial transaction reports in the transaction description field.
- The system validates PTAEO when billing is processed.
- Preparer appears on financial transaction reports.
- System Validations for PTAEO and status for HR, Banner and Visa at time of processing.
- System enforces separation of duties between the Initiator/Preparer, and the Approver although pay will be authorized after the fact.
- Purchaser must be a valid stockroom card holder.
- Stockroom Card Purchases:
  - ISP is centrally registered.
  - System validates PTAEO when billing is uploaded to Oracle JSA.
  - Purchasing system validates PTAEO when entered, and when billing is approved by the approver.
  - Purveyor to system validates PTAEO when billing is processed.
  - YARC System validates PTAEO when entered, and when billing is approved by the approver.

### YARC
- Stockroom transactions are approved by the approver.
- The system validates PTAEO when billing is processed.
- Preparer appears on financial transaction reports in the transaction description field.
- The system validates PTAEO when billing is processed.
- Preparer appears on financial transaction reports.
- System Validations for PTAEO and status for HR, Banner and Visa at time of processing.
- System enforces separation of duties between the Initiator/Preparer, and the Approver although pay will be authorized after the fact.
- Purchaser must be a valid stockroom card holder.
- Stockroom Card Purchases:
  - ISP is centrally registered.
  - System validates PTAEO when billing is uploaded to Oracle JSA.
  - Purchasing system validates PTAEO when entered, and when billing is approved by the approver.
  - Purveyor to system validates PTAEO when billing is processed.
  - YARC System validates PTAEO when entered, and when billing is approved by the approver.

### TIF (Kock)

#### Key Controls and Other Considerations

- Stockroom Distributes Invoices to Departments on a Weekly Basis
- All ISPs Must Be Centrally Registered
- ISP is Centrally Registered
- Preparer Appears on Financial Transaction Reports in Transaction Description Field
- Stockroom Transactions Are Approved by Initiator/Preparer
- Approval Workflow Varies by ISP
- Activity Review Report
- YARC Transaction Reports
- Stockroom Distributes Detailed Invoices to Departments on a Weekly Basis
- ISP Approval Workflow Varies by ISP
- Activity Review Report
- YARC Monthly Statements
- ISP Approval Workflow Varies by ISP
- Activity Review Report
- POC (Photo-Graphics & Images and Tissue Services)
- ISP Approval Workflow Varies by ISP
- Activity Review Report
- Activity Review Report
- Activity Review Report
- System Validates PTAEO & Status for HR, Banner and Visa at Time of Processing
- Activity Review Report
- Activity Review Report
- Activity Review Report
- System Validations for PTAEO and Status for HR, Banner and Visa at Time of Processing
- Activity Review Report
- Activity Review Report
- Activity Review Report
- Activity Review Report
- Activity Review Report
- Activity Review Report
- System Validates PTAEO When Billing is Uploaded to Oracle JSA
- Activity Review Report
<table>
<thead>
<tr>
<th>Transaction Type</th>
<th>Key Controls and Other Considerations</th>
<th>Transaction Report Standards</th>
<th>After-the-Fact Transaction Review Recommended?</th>
<th>Source Documents</th>
<th>Departmental Document Retention</th>
<th>Documentation &amp; Retention</th>
<th>Central Office Document Retention</th>
<th>Department Access Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Labor Distribution Adjustments Approved in Appointment</td>
<td>• Payroll is approved by authorized department prior to being processed. • Approved must be an authorized approver in RSH. • System validates PTAEO when transaction is entered. • PTAEO approves the payment.</td>
<td>MONTLY QUARTERLY</td>
<td>No</td>
<td>Account Holder Report Package</td>
<td>Department must retain source documentation unless transaction source documents have been scanned into the system.</td>
<td>BMS payable, receipt of and Cost Central Payroll. Documentation is available via Oracle LD for up to two years if the transactions home department has no system access.</td>
<td>BMS payable, receipt of Cost Central Payroll. Documentation is available via Oracle LD for up to two years if the transactions home department has no system access.</td>
<td>BMS payable, receipt of Cost Central Payroll. Documentation is available via Oracle LD for up to two years if the transactions home department has no system access.</td>
</tr>
<tr>
<td>Labor Distribution Adjustments Approved Outside of Department</td>
<td>• Payroll is approved by authorized department prior to being processed. • Approved must be an authorized approver in RSH. • System validates PTAEO when transaction is entered.</td>
<td>MONTLY QUARTERLY</td>
<td>Yes</td>
<td>Claim Review Report</td>
<td>Department must retain source documentation unless transaction source documents have been scanned into the system.</td>
<td>BMS payable, receipt of and Cost Central Payroll. Documentation is available via Oracle LD for up to two years if the transactions home department has no system access.</td>
<td>BMS payable, receipt of Cost Central Payroll. Documentation is available via Oracle LD for up to two years if the transactions home department has no system access.</td>
<td>BMS payable, receipt of Cost Central Payroll. Documentation is available via Oracle LD for up to two years if the transactions home department has no system access.</td>
</tr>
<tr>
<td>Monthly Payroll-Central Campus</td>
<td>• System validates PTAEO when transaction is entered.</td>
<td>MONTLY</td>
<td>No</td>
<td>Payroll Activity Review Report</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
</tr>
<tr>
<td>Monthly Payroll-Central Campus for Student Affairs</td>
<td>• System validates PTAEO when transaction is entered.</td>
<td>MONTLY</td>
<td>No</td>
<td>Payroll Activity Review Report</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
</tr>
<tr>
<td>Monthly Payroll-Remote</td>
<td>• System validates PTAEO when transaction is entered.</td>
<td>MONTLY</td>
<td>No</td>
<td>Payroll Activity Review Report</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
</tr>
<tr>
<td>Monthly Payroll-Remote for Student Affairs</td>
<td>• System validates PTAEO when transaction is entered.</td>
<td>MONTLY</td>
<td>No</td>
<td>Payroll Activity Review Report</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
</tr>
<tr>
<td>Oracle Student Financial Aid (SFA) - Disbursement</td>
<td>• System validates PTAEO when transaction is entered.</td>
<td>MONTLY</td>
<td>No</td>
<td>Payroll Activity Review Report</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
<td>Payroll transactions for faculty, staff, and student employees.</td>
</tr>
</tbody>
</table>
### 1101GD.10 Financial Review Principles - Version 1.7

#### Transaction Type

<table>
<thead>
<tr>
<th>Key Controls and Other Considerations</th>
<th>Transaction Report Standards</th>
<th>After-the-Fact Transaction Review?</th>
<th>Documentation &amp; Retention</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Income &amp; Expense Revenues</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Sponsored Awards: JSA System Transaction; NON-Sponsored: JSA System Transaction.</td>
<td><strong>MONTHLY</strong></td>
<td>AHR Payee Trend Report</td>
<td>Yes</td>
</tr>
<tr>
<td>- Institutional Items: Fringe Benefits, T&amp;A charges, and Division Assessments</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Authorized department approver prior to being processed, but recommended to review due to the uncertain and non-routine nature of these transactions.</td>
<td><strong>MONTHLY</strong></td>
<td>AHR Payee Trend Report</td>
<td>Yes</td>
</tr>
<tr>
<td>- System updated/Prepared/Preparer information</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- System updated/Prepared/Preparer information</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- System validated PTAEO when transaction is entered in JSA.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- System validates PTAEO when transaction is entered in JSA.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Approved in Outside of Department includes Interfund Transfers in Other JSA systems.</td>
<td><strong>MONTHLY</strong></td>
<td>AHR Payee Trend Report</td>
<td>Yes</td>
</tr>
<tr>
<td>- System validates PTAEO when transaction is entered in JSA.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- System validates PTAEO when transaction is entered in JSA.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Divisions Electronic Memos.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Approved in Outside of Department includes Interfund Transfers in Other JSA systems.</td>
<td><strong>MONTHLY</strong></td>
<td>AHR Payee Trend Report</td>
<td>Yes</td>
</tr>
<tr>
<td>- System validates PTAEO when transaction is entered in JSA.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- System validates PTAEO when transaction is entered in JSA.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Transaction is entered in Automated &amp; Manual.</td>
<td><strong>MONTHLY</strong></td>
<td>AHR Payee Trend Report</td>
<td>Yes</td>
</tr>
<tr>
<td>- System validates PTAEO when transaction is entered in JSA.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- System validates PTAEO when transaction is entered in JSA.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Authorization required for approver.</td>
<td><strong>MONTHLY</strong></td>
<td>AHR Payee Trend Report</td>
<td>Yes</td>
</tr>
<tr>
<td>- System validates PTAEO when transaction is entered in JSA.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- System validates PTAEO when transaction is entered in JSA.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Authorization required for approver.</td>
<td><strong>MONTHLY</strong></td>
<td>AHR Payee Trend Report</td>
<td>Yes</td>
</tr>
<tr>
<td>- System validates PTAEO when transaction is entered in JSA.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- System validates PTAEO when transaction is entered in JSA.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Income & Expense Revenues

- Policy guidance requires an authorized department approver prior to being processed, but recommended to review due to the uncertain and non-routine nature of these transactions.
- System updated/Prepared/Preparer information.
- System updated/Prepared/Preparer information.
- System validated PTAEO when transaction is entered in JSA.  
- System validates PTAEO when transaction is entered in JSA.
- **Activity Review Report:** AHR Payee Trend Report  
- **Source Documents:** Sponsored Award cost transfers are reviewed. Extra correspondence, as well as amendments, etc.  
- **Departmental Document Retention:** JSA System Transaction.  
- **Central Office Document Retention:** General Acctg: JSA System Transaction.  
- **Department Access Instructions:** General Acctg: JSA System Transaction.

#### Involuntary Assessments: Manual

- Authorization required for approver.
- System validated PTAEO when transaction is entered in JSA.
- System validates PTAEO when transaction is entered in JSA.
- **Activity Review Report:** AHR Payee Trend Report  
- **Source Documents:** Sponsored Award cost transfers are reviewed. Extra correspondence, as well as amendments, etc.  
- **Departmental Document Retention:** JSA System Transaction.  
- **Central Office Document Retention:** General Acctg: JSA System Transaction.  
- **Department Access Instructions:** General Acctg: JSA System Transaction.

#### Involuntary Assessments: Automated & Manual

- Authorization required for approver.
- System validated PTAEO when transaction is entered in JSA.
- System validates PTAEO when transaction is entered in JSA.
- **Activity Review Report:** AHR Payee Trend Report  
- **Source Documents:** Sponsored Award cost transfers are reviewed. Extra correspondence, as well as amendments, etc.  
- **Departmental Document Retention:** JSA System Transaction.  
- **Central Office Document Retention:** General Acctg: JSA System Transaction.  
- **Department Access Instructions:** General Acctg: JSA System Transaction.

#### Payroll Transfers: Automated & Manual

- Authorization required for approver.
- System validated PTAEO when transaction is entered in JSA.
- System validates PTAEO when transaction is entered in JSA.
- **Activity Review Report:** AHR Payee Trend Report  
- **Source Documents:** Sponsored Award cost transfers are reviewed. Extra correspondence, as well as amendments, etc.  
- **Departmental Document Retention:** JSA System Transaction.  
- **Central Office Document Retention:** General Acctg: JSA System Transaction.  
- **Department Access Instructions:** General Acctg: JSA System Transaction.

#### Involuntary Assessments: Manual

- Authorization required for approver.
- System validated PTAEO when transaction is entered in JSA.
- System validates PTAEO when transaction is entered in JSA.
- **Activity Review Report:** AHR Payee Trend Report  
- **Source Documents:** Sponsored Award cost transfers are reviewed. Extra correspondence, as well as amendments, etc.  
- **Departmental Document Retention:** JSA System Transaction.  
- **Central Office Document Retention:** General Acctg: JSA System Transaction.  
- **Department Access Instructions:** General Acctg: JSA System Transaction.

#### Involuntary Assessments: Automated & Manual

- Authorization required for approver.
- System validated PTAEO when transaction is entered in JSA.
- System validates PTAEO when transaction is entered in JSA.
- **Activity Review Report:** AHR Payee Trend Report  
- **Source Documents:** Sponsored Award cost transfers are reviewed. Extra correspondence, as well as amendments, etc.  
- **Departmental Document Retention:** JSA System Transaction.  
- **Central Office Document Retention:** General Acctg: JSA System Transaction.  
- **Department Access Instructions:** General Acctg: JSA System Transaction.

#### Other Considerations

- Transaction is approved by authorized department approver prior to being processed.  
- System validates PTAEO when transaction is entered in JSA.  
- System validates PTAEO when transaction is entered in JSA.  
- **Activity Review Report:** AHR Payee Trend Report  
- **Source Documents:** Sponsored Award cost transfers are reviewed. Extra correspondence, as well as amendments, etc.  
- **Departmental Document Retention:** JSA System Transaction.  
- **Central Office Document Retention:** General Acctg: JSA System Transaction.  
- **Department Access Instructions:** General Acctg: JSA System Transaction.

#### Involuntary Assessments: Manual

- Authorization required for approver.
- System validated PTAEO when transaction is entered in JSA.
- System validates PTAEO when transaction is entered in JSA.
- **Activity Review Report:** AHR Payee Trend Report  
- **Source Documents:** Sponsored Award cost transfers are reviewed. Extra correspondence, as well as amendments, etc.  
- **Departmental Document Retention:** JSA System Transaction.  
- **Central Office Document Retention:** General Acctg: JSA System Transaction.  
- **Department Access Instructions:** General Acctg: JSA System Transaction.

#### Involuntary Assessments: Automated & Manual

- Authorization required for approver.
- System validated PTAEO when transaction is entered in JSA.
- System validates PTAEO when transaction is entered in JSA.
- **Activity Review Report:** AHR Payee Trend Report  
- **Source Documents:** Sponsored Award cost transfers are reviewed. Extra correspondence, as well as amendments, etc.  
- **Departmental Document Retention:** JSA System Transaction.  
- **Central Office Document Retention:** General Acctg: JSA System Transaction.  
- **Department Access Instructions:** General Acctg: JSA System Transaction.

#### Other Considerations

- Transaction is approved by authorized department approver prior to being processed.  
- System validates PTAEO when transaction is entered in JSA.  
- System validates PTAEO when transaction is entered in JSA.  
- **Activity Review Report:** AHR Payee Trend Report  
- **Source Documents:** Sponsored Award cost transfers are reviewed. Extra correspondence, as well as amendments, etc.  
- **Departmental Document Retention:** JSA System Transaction.  
- **Central Office Document Retention:** General Acctg: JSA System Transaction.  
- **Department Access Instructions:** General Acctg: JSA System Transaction.

#### Other Considerations

- Transaction is approved by authorized department approver prior to being processed.  
- System validates PTAEO when transaction is entered in JSA.  
- System validates PTAEO when transaction is entered in JSA.  
- **Activity Review Report:** AHR Payee Trend Report  
- **Source Documents:** Sponsored Award cost transfers are reviewed. Extra correspondence, as well as amendments, etc.  
- **Departmental Document Retention:** JSA System Transaction.  
- **Central Office Document Retention:** General Acctg: JSA System Transaction.  
- **Department Access Instructions:** General Acctg: JSA System Transaction.