

GeorgiaFIRST Financials V8

Announcement

POSTED: June 30, 2009

SUBJECT: GL Updated Continuous Audit Processes Available

PURPOSE: To notify users at all institutions using GeorgiaFIRST PeopleSoft Financials Version 8.9 that the updated Continuous Audit processes BORIF01A, BORIF01B, and BORIF01D are available for use.

FUNCTIONAL IMPACT: The following updated Continuous Audit processes BORIF01A, BORIF01B, and BORIF01D have been released to all Production databases and are available for use. Updates to these processes include:

1. **BORIF01A** – The Employee Travel Continuous Audit Interface has been revised as follows:
 - A grand total was added to the Error Report Section 1 to aid in reconciliation to the General Ledger.
 - Section 10 was added to the Error Report to identify vendors that were paid from a reportable account, but do have a TIN populated in the Vendor Table.
2. **BORIF01B** – The Per Diem Continuous Audit Interface has been revised as follows:
 - The SQR has been modified to correct how it processes specific data conditions that were causing it to run to an error status in the Process Monitor.
 - Section 5 has been added to the Per Diem Error Report to identify vendors that were paid from a reportable account, but do not have a TIN populated in the Vendor Table.
3. **BORIF01D** – The Continuous Audit Combined Salary & Travel Report has been revised as follows:
 - A field length error that was causing the process to run to Error has been corrected.

SUPPORTING DOCUMENTATION: The following PSFIN Business Processes have been updated to reflect the changes in the Continuous Audit processes:

1. GL.040.005A – Running Employee Travel Continuous Audit Interface
2. GL.040.005B – Running Per Diem Continuous Audit Interface
3. GL.040.005C – Running Continuous Audit Report and Creating Files
4. GL.040.005D – Continuous Audit Combined Salary & Travel Report
5. GL.040.012 – Continuous Audit Vendor Obligation/Payment Report

PSFIN Business Processes are located in the **Business Processes** section of the **Documentation** page on the GeorgiaFIRST Financials web site at:

<http://www.usg.edu/gafirst-fin/documentation/>.

ADDITIONAL OIIT RESOURCES and SUPPORT: Contact the **OIIT HELPDESK** at http://www.usg.edu/customer_services (support request self-service) or e-mail helpdesk@usg.edu. For emergency, business interruptions, or production down situations, call the **OIIT HELPDESK** immediately (706-583-2001; or toll free within Georgia 1-888-875-3697).

Security Role	BOR_GL_CONT_AUD
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GL.040.005A Running Employee Travel Continuous Aud Interface_rv Trigger:

Concept

As required by the Official Code of Georgia 50-6-27, the Georgia Department of Audits and Accounts is required to provide a listing of Personal Services and Travel Expense paid to personnel of State Agencies, Boards, Authorities, Commissions, Regional Educational Service Agencies, State of Georgia Technical Colleges, Units of the University System of Georgia, Georgia Military College, and Local Boards of Education for each fiscal year, in accordance with Statements on Standards for Accounting and Review Services issued by the American Institute of Certified Public Accountants.

The Salary portion of the Continuous Audit Report is generated from HRMS and the Travel and Per Diem portions are produced from Financials.

The continuous audit report is produced and sent to DOAA at the end of each fiscal year. This business process covers the first step of the Continuous Audit process which is to gather all potentially reportable **employee travel** expenses from Accounts Payable, Travel and Expenses and General Ledger for the specified Fiscal Year and Periods. All transactions are inserted into PS_TRAVEL_TMP_BOR and error reports are produced to assist with Travel reconciliation and cleanup.

This process includes 4 separate subprocesses:

- Step 1 - ConAud A (BORIF01A.sqr) compiles the temporary table records for Employee Travel from AP and EX (TRAVEL_TMP_BOR) and produces a travel error report. Refer to business process GL.040.005A Employee Travel Continuous Audit Interface.

Business Process Document

DW - PayablesGL.040.005A Running Employee Travel Continuous Aud Interface_rv



- Step 2 - ConAud B (BORIF01B.sqr) compiles the temporary table records for Per Diem (PERDIEM_TMP_BOR) and produces a per diem error report. Refer to business process GL.040.005B Per Diem Continuous Audit Interface.
- Step 3 - ConAud C (BORIF01C.sqr) prepares the Per Diem electronic file for DOAA submission and produces printed reports for Travel and Per Diem showing transactions and totals that will be included in the electronic files. Refer to business process GL.040.005C Continuous Audit Per Diem and Travel Report.
- Step 4 - ConAud D (BORIF01D) is used for annual reporting and combines the Annual Salary data from HR and the Travel data from Financials and produces a printed report with totals and an electronic file for submission to DOAA. Refer to business process GL.040.005D Continuous Audit Combined Salary and Travel Report.

After any necessary cleanup, steps 1, 2 and 3 are run again and transactions in PS_TRAVEL_TMP_BOR and PS_PERDIEM_TMP_BOR are summed by SSN/TIN and included in the report/flat file. After all cleanup and reconciliation steps are completed, step 4 is run for the annual creation of the Salary and Travel file to be sent along with the Per Diem file to DOAA.

Frequency:

- Report should be ran as part of month end processing
- Quarterly reconciliation is mandated by Board of Regents
- Annual submission is due to DOAA by August of each year

In this topic, we will run Continuous Audit for an annual reconciliation and submission.

Assumptions

- All month end processing has been completed prior to running report.

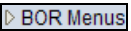

Dependencies/Constraints

- Travel is reported on an accrual basis (based on vouchers/expense reports entered, posted and journal generated) regardless of their payment status.
- All generated journals must be fully posted.

Additional Information

Procedure

For this topic, imagine that it is time to submit the Continuous Audit Report for all 12 periods in Fiscal Year 2007. You need to run the first step, which is to complete the Employee Travel Continuous Audit Interface. Let's see how this is done.

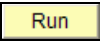


Step	Action
1.	Click the BOR Menu link. 
2.	Click the BOR General Ledger link.
3.	Click the BOR GL Interfaces link.
4.	Click the Continuous Audit link.
5.	Click the Add a New Value tab. Add a run control ID like CONT_AUDIT. Note that the same run control can be used for running the Travel-BORIF01A, Per Diem-BORIF01B, Report and File-BORIF01C and Annual Combined Salary and Travel-BORIF01D processes. 
6.	Click in the Beginning Fiscal Month field. <input type="text"/>
7.	Enter " 1 " in the Beginning Fiscal Month field.
8.	Click in the Ending Fiscal Month field. <input type="text"/>
9.	Enter " 12 " in the Ending Fiscal Month field.
10.	Click in the Fiscal Year field. <input type="text"/>
11.	Enter " 2007 " in the Fiscal Year field.
12.	The following options are available for running the Employee Travel (BORIF01A) report: -- No Compare to HRMS (recommended Monthly) -- Compare Financials to HRMS (recommended Quarterly) -- Compare Travel to Annual Salary Report (Annual Reporting). This option should only be used once HRMS has completed running the Annual Salary process. Click the Compare Travel to Annual Salary Report - Annual Reporting checkbox.

Business Process Document

DW - PayablesGL.040.005A Running Employee Travel



Continuous Aud Interface_rv

Step	Action
13.	Click the Run button. 
14.	Click the Select ConAud A: Travel Errors checkbox. <input type="checkbox"/>
15.	Click the OK button. 
16.	Click the Process Monitor link. Process Monitor
17.	Click the Refresh button. 
18.	Note: This process populates the query-available table PS_TRAVEL_TMP_BOR. You may wish to view this table to obtain additional information when troubleshooting errors.
19.	Click an entry in the Details column. Details
20.	Click the View Log/Trace link. View Log/Trace
21.	Click an entry in the Name column. borif01a_3021.PDF
22.	Section 1 Travel Errors gathers all journal entries that have been entered in GL to an employee travel account where the journal line is not in the correct format for Continuous Audit reporting.

Step	Action
23.	<p>For Section 1 Travel Errors, review the Error Type to determine why the journal is appearing as an error.</p> <p>Error Type 1 - Journal <u>does not contain *CA*SSN</u> format in the journal line description or an <u>Open Item Key</u>.</p> <p>Error Type 2 - Open Item Key populated but Employee ID/Vendor ID is not valid.</p> <p>Error Type 3 - Journal line description of *CA* is missing the SSN.</p> <p>Error Type 4 - Journal line description contains *CA* format but is <u>missing the SSN and Open Item Key populated is not valid</u>.</p> <p>Error Type 5 - Journal line description of *CA*SSN format contains an <u>invalid SSN and Open Item Key is not valid</u>.</p> <p>Errors that appear will remain on the report even after the correction is made. You should review the report to confirm that the employees reportable amount reflects your adjustments/corrections.</p>
24.	<p>Once you have entered a correction, you can review the TRAVEL_TMP_BOR record or run step 1 (BORIF01A) and 3 (BORIF01C) processes again to confirm that the correction has been successfully included or excluded from the report for the employee.</p>
25.	<p>Section 2 Travel Errors lists payees found to have Salary Journals, therefore presumed to be current employees, where a Non-Salary Indicator (NSI code) has been established in the vendor.</p> <p>Items appearing on this section of the Error listing may be correct and are provided for your confirmation as to whether an NSI should exist for the payee.</p>
26.	<p>NSI codes are entered in the Vendor Identifying Information under Additional ID Numbers. Valid NSI values are:</p> <p>99901 - Former Employee 99902 - Employee of another State Agency A0048 - Board Member</p>

Business Process Document

DW - PayablesGL.040.005A Running Employee Travel



Continuous Aud Interface_rv

Step	Action
27.	<p>Section 3 Travel errors lists payees found NOT to have Salary journals AND NOT established with a valid Non-Salary Indicator in the vendor.</p> <p>Transactions for Travel payees will be rejected by DOAA if the payee is not found to be a current employee (appearing on the Salary Continuous Audit Report) AND is not identified with a valid NSI.</p> <p>Items appearing on this section of the error report MUST BE CORRECTED <u>prior to submission to DOAA.</u></p> <p><i>Note that all SSN/TIN values have been removed from this document.</i></p>
28.	<p>Section 4 Travel errors lists vendors found with reportable amounts where more than one vendor has been detected with the same SSN/TIN.</p> <p>You will need to review the vendors and confirm that the Vendor Name and SSN/TIN are correct. Make any necessary vendor corrections.</p> <p>For annual reporting purposes, transactions for multiple vendors with the same SSN/TIN will be combined in the printed report and the electronic file submitted to DOAA.</p> <p><i>Note that all SSN/TIN values have been removed from this document.</i></p>
29.	<p>Section 5 Travel errors provides a list of vendors with reportable amounts where the SSN/TIN is not in an acceptable format and will be rejected by DOAA.</p> <p>SSN/TIN must be exactly 9 digits in length and include only numeric characters.</p> <p><u>Invalid SSN/TIN's must be corrected prior to running the BORIF01C - Continuous Audit report. If not corrected, the report or files will not be produced.</u></p>
30.	<p>Section 6 Travel errors is only produced when the HRMS to Financials Compare check box is selected. If the Compare Travel to Annual Salary Report option is selected, Section 7 Travel errors will be produced instead.</p> <p>This error report identifies differences in name and SSN between Financials and HRMS records. This section is provided as a clean up tool to assure the most accurate results in preparation for the annual submission to DOAA. For annual reporting, the Report and files will be populated with the name from HRMS where differences are found. However, all SSN/TIN differences must be corrected.</p> <p><i>Note that all SSN/TIN values have been removed from this document.</i></p>

Step	Action
31.	<p>Section 7 Travel errors is only produced when the Compare Travel to Annual Salary Report check box is selected. If the HRMS to Financials Compare option is selected, Section 6 will be produced instead.</p> <p>This error report identifies differences in name and SSN between Financials and the HRMS Salary Report. <u>You should consult with HRMS and confirm that they have produced the Continuous Audit Salary Report prior to reviewing this error report.</u></p> <p>This section is provided as a clean up tool to assure the most accurate results in preparation for the annual submission to DOAA. Any differences should be resolved prior to submission to DOAA.</p> <p><i>Note that all SSN/TIN values have been removed from this document.</i></p>
32.	<p>Section 8 Travel errors provides a list of AP vouchers charged to employee travel accounts. This list will assist you in monitoring employee transactions processed through AP instead of Expenses.</p> <p>In the event your institution is still using AP vouchers for employee travel reimbursements, this report can be ignored and no action should be required.</p> <p>Items appearing on this report are informational only and should not require any cleanup.</p>
33.	<p>Section 9 Travel errors provides a list of employee travel accounts that have not been correctly set up as an Open Item account.</p> <p>All employee travel accounts used by your institution should be established as an Open Item account for Continuous Audit reporting.</p>
34.	<p>Section 10 Travel errors provides a list of vendors with reportable amounts that will not be included in the report due to the Vendor TIN not being populated in the Vendor Additional ID Number.</p> <p>These vendors must be corrected to populate the TIN in the vendor or these transactions will be omitted from the Travel report and cause reconciliation issues to the General Ledger.</p>

Business Process Document

DW - PayablesGL.040.005A Running Employee Travel



Continuous Aud Interface_rv

Step	Action
35.	<p>Congratulations. You have just completed the Running Employee Travel Continuous Audit Interface topic. Below is a summary of the key concepts of this lesson:</p> <ul style="list-style-type: none">- The Employee Travel Continuous Audit Interface is one part of a three-part process. This part of the process gathers all potentially reportable employee travel expenses from Accounts Payable, Travel and Expenses, and General Ledger for the specified Fiscal Year and Periods.- All transactions are inserted into PS_TRAVEL_TMP_BOR and error reports are produced to assist with Travel reconciliation and cleanup.- Section 1 of the Travel Errors Report gathers all journal entries that have been entered in GL to an employee travel account.- Section 2 of the Travel Errors Report lists payees found to have Salary Journals, therefore presumed to be current employees, where a Non-Salary Indicator code has been established in the vendor.- Section 3 of the Travel Errors Report lists payees found NOT to have Salary journals and NOT established with a valid Non-Salary Indicator in the vendor.- Section 4 of the Travel Errors Report lists vendors found with reportable amounts where more than one vendor has been detected with the same SSN/TIN.- Section 5 of the Travel Errors Report lists the vendors with reportable amounts where the SSN/TIN is not an acceptable format and will be rejected by DOAA.- Section 6 of the Travel Errors Report identifies differences in name and SSN between Financials and HRMS records, if the HRMS to Financials Compare check box is selected.- Section 7 of the Travel Errors Report identifies differences in name and SSN between Financials and the HRMS Salary Report, only when the Compare Travel to Annual Salary Report check box is selected.- Section 8 of the Travel Errors Report provides a list of AP transactions charged to employee travel accounts.-Section 9 Travel errors provides a list of employee travel accounts that have not been correctly set up as an Open Item account.-Section 10 Travel errors provides a list of vendors with reportable amounts that will not be included in the report due to the Vendor TIN not being populated in the Vendor Additional ID Number. <p>End of Procedure.</p>

Security Role	BOR_GL_CONT_AUD
Responsibility/Role	
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GL.040.005B Running Per Diem Continuous Audit Interface_rev

Trigger:

Concept

As required by the Official Code of Georgia 50-6-27, the Georgia Department of Audits and Accounts is required to provide a listing of Personal Services and Travel Expense paid to personnel of State Agencies, Boards, Authorities, Commissions, Regional Educational Service Agencies, State of Georgia Technical Colleges, Units of the University System of Georgia, Georgia Military College, and Local Boards of Education for each fiscal year, in accordance with Statements on Standards for Accounting and Review Services issued by the American Institute of Certified Public Accountants.

The Salary portion of the Continuous Audit Report is generated from HRMS and the Travel and Per Diem portions are produced from Financials.

The continuous audit report is produced and sent to DOAA at the end of each fiscal year. This business process covers the second step of the Continuous Audit process which is to gather all potentially reportable **non employee per diem** expenses from Accounts Payable and General Ledger for the specified Fiscal Year and Periods. All transactions are inserted into PS_PERDIEM_TMP_BOR and error reports are produced to assist with Per Diem reconciliation and cleanup.

This process includes 4 separate subprocesses:

- Step 1 - ConAud A (BORIF01A.sqr) compiles the temporary table records for Employee Travel from AP and EX (TRAVEL_TMP_BOR) and produces a travel error report. Refer to business process GL.040.005A Employee Travel Continuous Audit Interface.

Business Process Document

DW - PayablesGL.040.005B Running Per Diem Continuous



Audit Interface_rev

- Step 2 - ConAud B (BORIF01B.sqr) compiles the temporary table records for Per Diem (PERDIEM_TMP_BOR) and produces a per diem error report. Refer to business process GL.040.005B Per Diem Continuous Audit Interface.
- Step 3 - ConAud C (BORIF01C.sqr) prepares the Per Diem electronic file for DOAA submission and produces printed reports for Travel and Per Diem showing transactions and totals that will be included in the electronic files. Refer to business process GL.040.005C Continuous Audit Per Diem and Travel Report.
- Step 4 - ConAud D (BORIF01D) is used for annual reporting and combines the Annual Salary data from HR and the Travel data from Financials and produces a printed report with totals and an electronic file for submission to DOAA. Refer to business process GL.040.005D Continuous Audit Combined Salary and Travel Report.

After any necessary cleanup, steps 1, 2 and 3 are run again and transactions in PS_TRAVEL_TMP_BOR and PS_PERDIEM_TMP_BOR are summed by SSN/TIN and included in the report/flat file. After all cleanup and reconciliation steps are completed, step 4 is run for the annual creation of the Salary and Travel file to be sent along with the Per Diem file to DOAA.

Frequency:

- Report should be ran as part of month end processing
- Quarterly reconciliation is mandated by Board of Regents
- Annual submission is due to DOAA by August of each year

In this topic, we will run Continuous Audit for an annual reconciliation and submission.

Assumptions

- All month end processing has been completed prior to running report.

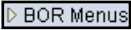
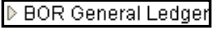
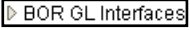

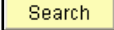

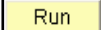
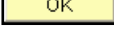


Dependencies/Constraints

- Per Diem is reported on an accrual basis (based on vouchers entered, posted and journal generated) regardless of their payment status.
- All generated journals must be fully posted.

Additional Information

Procedure

For this topic, imagine that it is time to submit the Continuous Audit Report for all 12 periods in Fiscal Year 2007, and you have already run the Employee Travel Continuous Audit Interface. Now, you need to run the second step, which is to complete the Per Diem Continuous Audit Interface. Let's see how this is done.

Step	Action
1.	Click the BOR Menus link. 
2.	Click the BOR General Ledger link. 
3.	Click the BOR GL Interfaces link. 
4.	Click the Continuous Audit link. 
5.	Click the Search button. 
6.	Click an entry in the Run Control ID column. Note that the same run control can be used for running the Travel-BORIF01A, Per Diem-BORIF01B, Report and File-BORIF01C and Annual Combined Salary and Travel-BORIF01D processes. 
7.	Confirm that the Beginning and Ending Fiscal Months and Fiscal Year match the criteria used to run Employee Travel (BORIF01A).
8.	<i>Note that there are no report options that need to be selected to run the Per Diem BORIF01B process.</i>
9.	Click the Run button. 
10.	Click the Select ConAud B: Per Diem Error checkbox. <input type="checkbox"/>
11.	Click the OK button. 
12.	Click the Process Monitor link. 
13.	Click the Refresh button. 

Business Process Document

DW - PayablesGL.040.005B Running Per Diem Continuous



Audit Interface_rev

Step	Action
14.	Note: This process populates the query-available table PS_PERDIEM_TMP_BOR. You may wish to view this table to obtain additional information when troubleshooting errors.
15.	Click an entry in the Details column. Details
16.	Click the View Log/Trace link. View Log/Trace
17.	Click an entry in the Name column. borif01b_3023.PDF
18.	Section 1 Per Diem errors gathers all journal entries that have been entered in GL to a Per Diem account. If the error report total amount is <u>not</u> \$0.00, adjustments/corrections must be made to reconcile to the general ledger.
19.	Section 2 Per Diem errors provides a list of any transactions charged to an invalid Per Diem account. DOAA will only accept Per Diem transactions charged to Per Diem accounts as defined in the University System of Georgia Chart of Accounts. Additions to the Per Diem & Fee account ranges are not allowed and will be rejected by DOAA.
20.	Section 3 Per Diem errors lists vendors found with reportable amounts where more than one vendor has been detected with the same SSN/TIN. You will need to review the vendors and confirm that the Vendor Name and SSN/TIN are correct. Make any necessary vendor corrections. For annual reporting purposes, transactions for multiple vendors with the same SSN/TIN will be combined in the printed report and the electronic file submitted to DOAA. <i>Note that all SSN/TIN values have been removed from this document.</i>
21.	Section 4 Per Diem errors provides a list of vendors with reportable amounts where the SSN/TIN is not in an acceptable format and will be rejected by DOAA. SSN/TIN must be exactly 9 digits in length and include only numeric characters. Note: Invalid SSN/TIN's must be corrected prior to running the BORIF01C - Continuous Audit report. If not corrected, the report or files will not be produced.
22.	Section 5 Per Diem errors provides a list of vendors with reportable amounts where the TIN is not populated in the Vendor Additional ID number field. In order to correctly report this vendor, you must populate the TIN in the vendor.

Step	Action
23.	<p>Congratulations. You have just completed the Running Per Diem Continuous Audit Interface topic. Below is a summary of the key concepts of this lesson:</p> <ul style="list-style-type: none"> - The Per Diem Continuous Audit Interface is the second part of a three-part process. This part of the process gathers all potentially reportable non-employee per diem from Accounts Payable and General Ledger for the specified Fiscal Year and Periods. - All transactions are inserted into PS_PERDIEM_TMP_BOR and error reports are produced to assist with Per Diem reconciliation and cleanup. - Section 1 of the Per Diem Errors Report gathers all journal entries that have been entered in GL to a Per Diem account. - Section 2 of the Per Diem Errors Report lists transactions charged to invalid Per Diem Accounts. - Section 3 of the Per Diem Errors Report lists vendors found with reportable amounts where more than one vendor has been detected with the same SSN/TIN. - Section 4 of the Per Diem Error Report lists the vendors with reportable amounts where the SSN/TIN is not an acceptable format and will be rejected by DOAA. <p>End of Procedure.</p>

Security Role	BOR_GL_CONT_AUD
Responsibility/Role	
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GL.040.005C Running Continuous Aud Report and Create Files_rev

Trigger:

Concept

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The Salary portion of the Continuous Audit Report is generated from HRMS and the Travel and Per Diem portions are produced from Financials.

The continuous audit report is produced and sent to DOAA at the end of each fiscal year. The first step of the Continuous Audit process is to gather all potentially reportable employee travel expenses from AP, Expenses (EX) and GL for the specified Fiscal Year and Periods. All employee travel transactions are inserted into PS_TRAVEL_TMP_BOR. The second step is to gather all potentially reportable non employee Per Diem expenses from AP and GL for the specified Fiscal Year and Periods. All per diem transactions are inserted into PS_PERDIEM_TMP_BOR and error reports are produced to assist with reconciliation and cleanup.

This process includes 4 separate subprocesses:

Business Process Document

DW - PayablesGL.040.005C Running Continuous Aud Report and Create Files_rev



- Step 1 - ConAud A (BORIF01A) compiles the temporary table records for Employee Travel from AP and EX (TRAVEL_TMP_BOR) and produces a travel error report. Refer to business process GL.040.005A Employee Travel Continuous Audit Interface.
- Step 2 - ConAud B (BORIF01B) compiles the temporary table records for Per Diem (PERDIEM_TMP_BOR) and produces a per diem error report. Refer to business process GL.040.005B Per Diem Continuous Audit Interface.
- Step 3 - ConAud C (BORIF01C) prepares the Per Diem electronic file for DOAA submission and produces printed reports for Travel and Per Diem showing transactions and totals that will be included in the electronic files. Refer to business process GL.040.005C Continuous Audit Per Diem and Travel Report.
- Step 4 - ConAud D (BORIF01D) is used for annual reporting and combines the Annual Salary data from HR and the Travel data from Financials and produces a printed report with totals and an electronic file for submission to DOAA. Refer to business process GL.040.005D Continuous Audit Combined Salary and Travel Report.

After any necessary cleanup, steps 1, 2 and 3 are run again and transactions in PS_TRAVEL_TMP_BOR and PS_PERDIEM_TMP_BOR are summed by SSN/TIN and included in the report/flat file. After all cleanup and reconciliation steps are completed, step 4 is ran for the annual creation of the Salary and Travel file to be sent along with the Per Diem file to DOAA.

Frequency:

- Report should be ran as part of month end processing
- Quarterly reconciliation is mandated by Board of Regents
- Annual submission is due to DOAA by August of each year

In this topic, we will run Continuous Audit for an annual reconciliation and submission.

Assumptions

- All month end processing has been completed prior to running report.



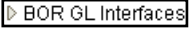

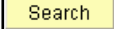


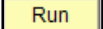

Dependencies/Constraints

- All Continuous Audit reportable journals must be fully processed in order to reconcile the report to the general ledger. Refer to GL.070.096 - BOR_JE_PENDING query to determine if reportable journals require further processing.

Additional Information

Procedure

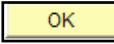
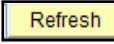
For this topic, imagine that it is time to submit the Continuous Audit Report for all 12 periods in Fiscal Year 2007. You need to run the third step, which is to run the Continuous Audit Travel and Per Diem Report. Let's see how this is done.

Step	Action
1.	Click the BOR Menu link. 
2.	Click the BOR General Ledger link. 
3.	Click the BOR GL Interfaces link. 
4.	Click the Continuous Audit link. 
5.	Click the Search button. 
6.	Click an entry in the Run Control ID column. Add a run control ID like CONT_AUDIT. Note that the same run control can be used for running the Travel-BORIF01A, Per Diem-BORIF01B, Report and File-BORIF01C and Annual Combined Salary and Travel-BORIF01D processes. 
7.	Confirm that the Beginning and Ending Fiscal Months and Fiscal Year match the criteria used to run Employee Travel (BORIF01A) and Per Diem (BORIF01B).
8.	For <u>monthly or quarterly</u> reconciliation, only the report is needed so you can leave the Create Per Diem File (BORIF01C) option unselected to only produce the Travel and Per Diem Report. For <u>annual reporting</u> , select this option to produce the Travel and Per Diem Report and the Per Diem file that will be submitted to DOAA. Note: Since DOAA is requiring the Salary and Travel file be combined for FY09 annual submission, this option has been modified to no longer produce the Travel file. Click the Create Per Diem File (BORIF01C) checkbox. 
9.	Click the Run button. 
10.	Click the Select ConAud C: checkbox. 

Business Process Document

DW - PayablesGL.040.005C Running Continuous Aud Report and Create Files_rev



Step	Action
11.	Click the OK button. 
12.	Click the Process Monitor link. Process Monitor
13.	Click the Refresh button. 
14.	Click an entry in the Details column. Details
15.	Click the View Log/Trace link. View Log/Trace
16.	The Per Diem .AUD file should be created and the borif01c Travel and Per Diem report. In the event the file and report were not produced, review the trace file or the Travel and Per Diem error reports for invalid SSNs that may have prevented the report from being created. Invalid SSNs must be corrected before this process can be run to success.
17.	Click an entry in the Name column. borif01c_77840.PDF
18.	Review the Travel report. - Confirm that only employees appear in the Travel report. No payments should be made to a third party vendor. - Confirm that Non Salary Indicators are correctly reflected in the report.
19.	Institutions that are using Expenses for employee reimbursements may see unexpected former employee NSI code 99901 on the Travel Report (borif01c). In order to determine whether an employee needs the 99901 NSI code since employees in Expenses are not a vendor, the report is checking to see if the employee is in an active status and if a Salary record exists in HR. If the HR Annual Salary file process has not yet been run, this table will have prior year data and will produce the NSI code since this employee may not have had a Salary record at that time. Close attention should be paid to NSI code 99901 once the annual HR Salary process has been run. If the travel reimbursement was processed from a vendor in AP, NSI codes will be included as found in the vendor.
20.	Review the Per Diem and Fees report.

Step	Action
21.	Confirm that no employees appear in the Per Diem report.
22.	<p>Review the report totals. The Travel and Per Diem Reports must be reconciled to the general ledger prior to your annual submission to DOAA.</p> <p>You can use the following GeorgiaFirst Financials delivered queries for reconciling:</p> <p>GL.075.002 - BOR_SALARY_CONT_AUDIT_RECON GL.075.003 - BOR_TRAVEL_CONT_AUDIT_RECON GL.075.004 - BOR_PERDIEM_CONT_AUDIT_RECON</p> <p>It is recommended that you reconcile continuous audit prior to year end close (June 30th) so that any necessary corrections and adjustments will be recorded in the correct fiscal year.</p> <p>The Department of Audits and Accounts (DOAA) will provide instructions for submission of your annual files.</p>
23.	<p>In the event the report does not reconcile to the general ledger:</p> <p>1.) Review the Travel or Per Diem error reports and confirm that errors that will prevent the transaction from being included in the report have been corrected.</p> <p>2.) Run the BOR_JE_PENDING query and confirm that all journals have been fully processed.</p>
24.	<p>For annual submission to DOAA, you will need to save the Per Diem file out of PeopleSoft Financials as a .txt file. Prior to submission to DOAA you will need to save the file in a .CSV format for submission to DOAA.</p> <p>Once you have confirmed that your HRMS department has finalized the Annual Salary report, you will then run the Combined Salary and Travel process to combine the two reports and produce the new combined file. Refer to business process GL.040.005D Continuous Audit Combined Salary & Travel Report.</p>

Business Process Document

DW - PayablesGL.040.005C Running Continuous Aud Report and Create Files_rev



Step	Action
25.	<p data-bbox="370 296 1421 390">Congratulations. You have just completed the Running the Continuous Audit Report and Creating Files topic. Below is a summary of the key concepts of this lesson:</p> <ul data-bbox="370 432 1398 695" style="list-style-type: none">- Before running the Continuous Audit Report, you must first run the Employee Travel Continuous Audit Interface and the Per Diem Continuous Audit Interface.- Travel and Per Diem transactions are summed by SSN/TIN.- Use the following GeorgiaFIRST queries to reconcile the Travel and Per Diem Reports to the GL:<ul style="list-style-type: none">- GL.075.002 – BOR_SALARY_CONT_AUDIT_RECON- GL.075.003 – BOR_TRAVEL_CONT_AUDIT_RECON- GL.075.004 – BOR_PERDIEM_CONT_AUDIT_RECON <p data-bbox="370 695 618 726">End of Procedure.</p>

Security Role	BOR_GL_CONT_AUD
Responsibility/Role	
File Name	GL_040_005D Continuous Audit Combined Salary _ Travel Report_BUSPROC.docx
Version	
Document Generation Date	6/29/2009
Date Modified	6/30/2009
Last Changed by	
Status	

GL.040.005D Continuous Audit Combined Salary & Travel Report

Trigger:

Concept

The Salary portion of the Continuous Audit Report is generated from HRMS and the Travel and Per Diem portions are produced from Financials.

The continuous audit report is produced and sent to DOAA at the end of each fiscal year. This business process covers the final step of the annual Continuous Audit process which should be completed once you have been notified that your HRMS staff have completed the Annual Salary process in HR and that both the Travel and Salary reports have been reconciled to your general ledger.

This process includes 4 separate subprocesses:

- Step 1 - ConAud A (BORIF01A.sqr) compiles the temporary table records for Employee Travel from AP and EX (TRAVEL_TMP_BOR) and produces a travel error report. Refer to business process GL.040.005A Employee Travel Continuous Audit Interface.
- Step 2 - ConAud B (BORIF01B.sqr) compiles the temporary table records for Per Diem (PERDIEM_TMP_BOR) and produces a per diem error report. Refer to business process GL.040.005B Per Diem Continuous Audit Interface.
- Step 3 - ConAud C (BORIF01C.sqr) prepares the Per Diem electronic file for DOAA submission and produces printed reports for Travel and Per Diem showing transactions and totals that will be included in the electronic files. Refer to business process GL.040.005C Continuous Audit Per Diem and Travel Report.
- Step 4 - ConAud D (BORIF01D) is used for annual reporting and combines the Annual Salary data from HR and the Travel data from Financials and produces a printed report with totals and an electronic file for submission to DOAA. Refer to business process GL.040.005D Continuous Audit Combined Salary and Travel Report.

Business Process Document

DW - PayablesGL.040.005D Continuous Audit Combined



Salary & Travel Report

After any necessary cleanup, steps 1, 2 and 3 are run again and transactions in PS_TRAVEL_TMP_BOR and PS_PERDIEM_TMP_BOR are summed by SSN/TIN and included in the report/flat file. After all cleanup and reconciliation steps are completed, step 4 is run for the annual creation of the Salary and Travel file to be sent along with the Per Diem file to DOAA.

In this topic, we will run Continuous Audit for an annual reconciliation and submission.

Assumptions

-- The Travel report from Financials and Salary report from HRMS has been reconciled to the general ledger for the current reporting fiscal year.

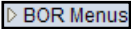
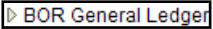
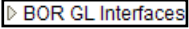
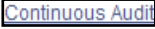
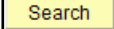

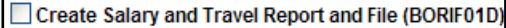
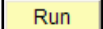

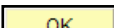

Dependencies/Constraints

Any changes/corrections made after this process is run will not be included in the report unless all processes are run again.

Additional Information

Procedure

For this topic, imagine that it is time to submit the Continuous Audit Report for all 12 periods in Fiscal Year 2009. You need to run the fourth step, which is to run the Continuous Audit Combined Salary & Travel Report. Let's see how this is done.

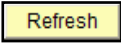

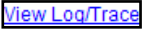
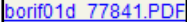

Step	Action
1.	Click the BOR Menus link. 
2.	Click the BOR General Ledger link. 
3.	Click the BOR GL Interfaces link. 
4.	Click the Continuous Audit link. 
5.	Click the Search button. 
6.	Click an entry in the Run Control ID column. Add a run control ID like CONT_AUDIT. Note that the same run control can be used for running the Travel-BORIF01A, Per Diem-BORIF01B, Report and File-BORIF01C and Annual Combined Salary and Travel-BORIF01D processes. 
7.	Confirm that the correct Beginning and Ending Fiscal Month and Fiscal Year are populated. The run control parameters should be the same for all of the Continuous Audit processes that you are running for the specified reporting year.
8.	Since this is for your Annual reporting for submission to DOAA, Click the Create Salary and Travel Report and File (BORIF01D) checkbox. 
9.	Click the Run button. 
10.	Click the Select ConAud D BORIF01D checkbox. 
11.	Click the OK button. 
12.	Click the Process Monitor link. 

Business Process Document

DW - PayablesGL.040.005D Continuous Audit Combined



Salary & Travel Report

Step	Action
13.	Click the Refresh button. 
14.	Click an entry in the Details column. 
15.	Click the View Log/Trace link. 
16.	The combined Salary and Travel .AUD file has been created along with the report. You should review the report and confirm that the totals agree with the individual reports from step 3 (borif01c) and from the Salary totals from HRMS. Click an entry in the Name column. 
17.	Click the Maximize/Restore button. Review the report and confirm that only employees appear. No third party vendors should be reflected. Confirm that the employee Social Security numbers are valid 9 digit SSN's. Confirm that the employee names are correct. Confirm that a BCAT Code is populated for all employees. In the event the employee does not have a Salary amount reflected in the report, an NSI code should be populated in the BCAT Code column instead. Valid NSI codes should be A0048-Board Member, 99901-Former Employee and 99902-Employed by Other State Organization. 
18.	In the event any issues are found in the report, you will need to make the necessary correction and run the related reports again. Once you confirm that the employee information and report totals are correct, you will need to save the XXXSALTRAVXX file out of PeopleSoft for submission to DOAA. Refer to the Data Reporting Instructions from Department of Audits and Accounts for submitting your annual file.

Step	Action
19.	<p>Congratulations. You have just completed running the Continuous Audit Combined Salary & Travel Report topic. Below is a summary of the key concepts of this lesson:</p> <ul style="list-style-type: none"> - The ConAud D (BORIF01D) is used for annual reporting and combines the Annual Salary data from HR and the Travel data from Financials and produces a printed report with totals and an electronic file for submission to DOAA. Refer to business process GL.040.005D Continuous Audit Combined Salary and Travel Report. - After any necessary cleanup, steps 1, 2 and 3 are run again and transactions in PS_TRAVEL_TMP_BOR and PS_PERDIEM_TMP_BOR are summed by SSN/TIN and included in the report/flat file. After all cleanup and reconciliation steps are completed, step 4 is run for the annual creation of the Salary and Travel file to be sent along with the Per Diem file to DOAA. <p>End of Procedure.</p>

Security Role	BOR_GL_CONT_AUD
Responsibility/Role	
File Name	GL_040_012 Continuous Audit Vendor Obligation_Payment Report_BUSPROC.docx
Version	
Document Generation Date	6/29/2009
Date Modified	6/30/2009
Last Changed by	
Status	

GL.040.012 Continuous Audit Vendor Obligation/Payment Report

Trigger:

Concept

Senate Bill 300, the Transparency in Government Act, was passed in the 2008 legislative session and signed into law on May 12, 2008. The DOAA is responsible for collecting certain specific grant and contract payments and making the data available on a searchable website. This data will be collected annually beginning in August 2009. Two flat files will be created that contain the required data and these flat files will be submitted by each institution directly to DOAA along with the other annual Continuous Audit files.

Since certain grants should not be subject to open records requests, a new Grant Exclusion page has been developed to allow these grants to be excluded from reporting. Examples of these types of grants include payments to study participants that would violate HIPPA laws or payments made to federal or state agencies that would violate secrecy laws.

Once grants that should be excluded have been entered on the Grant Exclusions page, two processes will be run: 1.)BORIF37A - Vendor Obligation and 2.) BORIF37B - Vendor Payments. A report and .AUD file will be produced for each process. The .AUD files will need to be reviewed in excel and saved as a .CSV file for submission to DOAA.

The following have been excluded from this reporting:

- Funds 13xxx, 3xxxx, 4xxxx and 6xxxx are excluded
- Accounts 640xxx (Employee Travel), 751xxx-752xxx (Per Diem & Fees) are excluded since they are included in the Continuous Audit Travel and Per Diem reporting.
- Banner student payments

Business Process Document

DW - PayablesGL.040.012 Continuous Audit Vendor
Obligation/Payment Report



Assumptions

Dependencies/Constraints

The DOAA site for the Vendor Obligation and Payment files will not be available until approximately August 17th for FY09. An announcement from DOAA will be sent out to provide instructions for this submission.

Institutions must run this process in their individual databases for the FY09 submission. It is recommended that this submission be completed as early as possible since we will be upgrading to the PeopleSoft Financials Consolidated database July 1 and access to the individual databases may be changed to read only access after FY09 reporting has been completed.

Additional information will be provided concerning the level of access to the individual databases once that date has been determined.

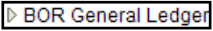
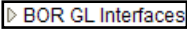
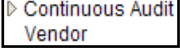


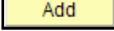
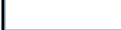




Additional Information

The following records can be used for analysis and review of the data produced by the Vendor Obligation (BORIF37A.sqr) and Vendor Payments (BORIF37B.sqr) processes.

- The GRANT_EXMPT_BOR– Senate Bill 300 record contains all Grants that are populated in the Grant Exempt BOR (Grant Exclusion) page.
- The VDROBLG_TMP_BOR– Vendor Obligation Detail record contains all transactions that are included in the Vendor Obligation report.
- The VDROBLG_WRK_BOR– Vendor Obligation Summary record contains a replica of the vendor totals that are included in the Vendor Obligation report and file.
- The VDRPYMT_TMP_BOR – Vendor Payment Detail record contains all transactions that are included in the Vendor Payment report.
- The VDRPYMT_WRK_BOR– Vendor Payment Summary record contains a replica of the vendor totals that are included in the Vendor Payment report and file.

Procedure




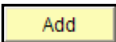
For this topic, run the Continuous Audit Vendor Obligation/Payment Report. In this example, exclude grants #305 and #021, and run the Continuous Audit Vendor Report for Business Unit 27000, Periods 1 – 12, and Fiscal Year 2009.

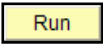
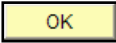
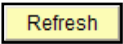
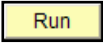
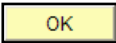
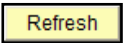
Step	Action
1.	Click the BOR General Ledger link. 
2.	Click the BOR GL Interfaces link. 
3.	Click the Continuous Audit Vendor link. 
4.	Step 1: If your institution has Grants that should not be subject to open records requests, you will select the Grants to be excluded from this reporting. Click the Add/Update Grant Exclusion link. 
5.	Click the Add a New Value tab. 
6.	Click the Add button. 
7.	Click in the Project/Grant field. 
8.	Click the Project/Grant button. 
9.	Click an entry in the Project column. 
10.	Click in the Reporting Year field. Note: This is the fiscal year that you are reporting (i.e. 2009). You will need to update the Grant Exemptions page each fiscal year. 
11.	Enter " 2009 " in the Reporting Year field.
12.	If you have multiple Grants that should be excluded, click the Add a new row at row 1 (Alt+7) button. 

Business Process Document

DW - PayablesGL.040.012 Continuous Audit Vendor
Obligation/Payment Report



Step	Action
13.	Click in the Project/Grant field. Select the next Project ID that should be excluded. <input type="text"/>
14.	Click in the Reporting Year field. <input type="text"/>
15.	Enter " 2009 " in the Reporting Year field.
16.	Click the Save button. 
17.	Step 2: Run the Vendor Obligations process to produce a list of open encumbrances for the current reporting budget year.
18.	Click the Continuous Audit Vendor Report link. 
19.	Click the Add a New Value tab. 
20.	Click in the Run Control ID field. <input type="text"/>
21.	Enter " CONTAUD_VNDR " in the Run Control ID field.
22.	Click the Add button. 
23.	Click in the Business Unit field. Be sure that your institution's Business Unit is selected. <input type="text" value="27000"/>
24.	Click in the Beginning Period field. <input type="text"/>
25.	Enter " 1 " in the Beginning Period field.
26.	Click in the Ending Period field. <input type="text"/>
27.	Enter " 12 " in the Ending Period field.
28.	Click in the Fiscal Year field. <input type="text"/>
29.	Enter " 2009 " in the Fiscal Year field.

Step	Action
30.	Click the Run button. 
31.	Click the Select checkbox. Run the ConAud Vndr A: Vendor Oblig. BORIF37A process. <input type="checkbox"/>
32.	Click the OK button. 
33.	Click the Process Monitor link. Process Monitor
34.	Click the Refresh button. Confirm that the BORIF37A Vendor Obligations SQR report runs to Success and Posted. 
35.	Click the Go back to Cont Audit Vendor Report link. Go back to Cont Audit Vendor Report
36.	Step 3: Run the Vendor Payments process to produce a list of payments with a transaction date within the current reporting fiscal year. Run the Vendor Payments process using the same parameters previously selected. Click the Run button. 
37.	Click the Select checkbox. Run the ConAud Vndr B: Vendor Payment BORIF37B process. <input type="checkbox"/>
38.	Click the OK button. 
39.	Click the Process Monitor link. Process Monitor
40.	Click the Refresh button. Confirm that the Vendor Payments BORIF37B SQR report runs to Success and Posted. 

Business Process Document

Step	Action
41.	<p><u>Step 4:</u></p> <p>Now you will review the reports and files created by these processes. Click an entry in the Details column.</p> <p>Details</p>
42.	<p>Click the View Log/Trace link.</p> <p>View Log/Trace</p>
43.	<p>Click an entry in the Name column.</p> <p>borif37a_39836.PDF</p>
44.	<p>Review the Vendor Obligation Report and confirm that Grant information that should be excluded from reporting is not included.</p> <p>Verify that the Vendor Payment Report does not include Grants that should be excluded from reporting.</p> <p>The reports will include the Vendor TIN if populated in the Vendor. If no TIN is found, the Vendor ID will be reported instead. You should pay close attention to the Vendor TIN to confirm that they are in the required 9 digit format without dashes or non-numeric characters.</p> <p>For FY09 reporting, DOAA will accept either the Vendor ID or Vendor TIN. Future reporting should be by Vendor TIN only.</p>
45.	<p><u>Step 5:</u></p> <p>Once you have reviewed the Vendor Obligation and Vendor Payment reports, you will need to save the .AUD files out of PeopleSoft as a .txt file.</p> <p>Right-click an entry in the APY1405 Name column.</p> <p>527OBLIG09.AUD</p>
46.	<p>Click the Save Target As... menu.</p> <p><input type="text" value="Save Target As..."/></p> <p><i>or</i></p> <p>Press [A].</p>
47.	<p>Select the appropriate directory that you wish to save the files to.</p>

Step	Action
48.	<p><u>Step 6:</u></p> <p>The final step in this process is the annual submission of the files to DOAA.</p> <p>Prior to submission, you will need to save the files as a .CSV file per DOAA requirements.</p> <p>DOAA will provide instructions for these new annual files and the deadline that these files should be submitted.</p>
49.	<p>Congratulations. You have just completed the Continuous Audit Vendor Obligation/Payment Report topic.</p> <p>End of Procedure.</p>