

---

# PSFIN V8.9 Training

## Georgia*FIRST* Wimba Training Series

### Continuous Audit Reporting

May 5, 2010

#### Handouts

Office of Information and  
Instructional Technology  
Version 1.0  
Last Updated: 05/04/2010

**GEORGIA*FIRST***  
FINANCIAL, INFORMATION & REPORTING SYSTEMS FOR TOMORROW  
A Project of the University System of Georgia

### **Agenda**

- Wimba Ground Rules
- Review Objectives
- What is Continuous Audit Reporting
- Summary of Changes to the process
- Process Steps & Error Correction

### **Wimba Ground Rules**

- Use the chat box to submit questions
- Submit questions to “Main Room”
- We may hold some questions to the end of the session

### **Objectives**

- Identify the purpose of the Continuous Audit process
- Review the changes to the Continuous Audit process
- Review different types of Continuous Audit errors and how to correct those errors
- Identify how to save Continuous Audit files for submission to DOAA
- Identify how to complete the Vendor Payment Obligation/Payment Reporting process

## What is Continuous Audit

- Listing of Personal Services and Travel Expenses paid to state personnel (including USG)
  - Per Diem refers to non-employees
- Salary portion is generated from ADP
- Combined with Travel and Per Diem portions generated from Financials
- Submitted to Department of Audits and Accounts at end of each fiscal year (8/16)

## 4 Subprocesses of Continuous Audit

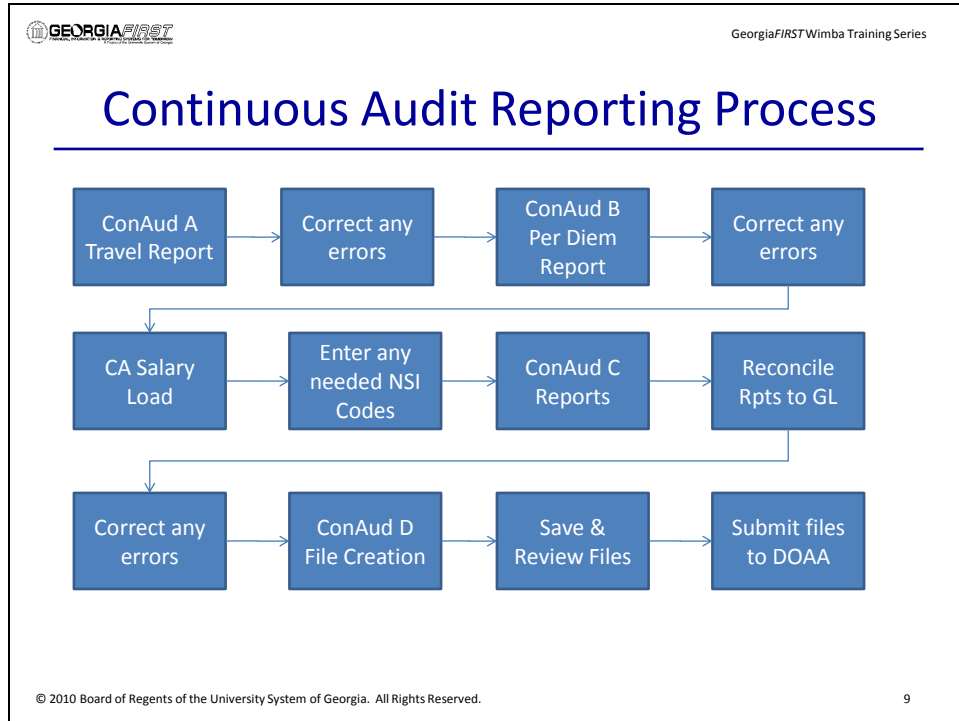
- BORIF01A.sqr: Compiles temporary table records for Employee Travel
- BORIF01B.sqr: Compiles temporary table records for Per Diem
- BORIF01C.sqr: Produces printed reports for Salary/Travel and Per Diem showing transactions and totals
- BORIF01D.sqr: Produces files for DOAA submission

## Vendor Obligation/Payment Report

- DOAA is also responsible for collecting certain specific grant and contract payment data, and making it available on a searchable website
  - Collected annually
  - Submitted to DOAA (10/15)

## Summary of Changes

- Continuous Audit reporting will use the Open Item Key as the sole driving factor in determining the recipient of reportable payments
- Salary portion this year will be generated from ADP and PSHRMS (July, 2009)
- All amounts are pulled from JRNL\_LN
- NSI Code: New page for entering Non-Salary Indicators



## Employee Travel CA Interface

- BORIF01A.sqr
- Navigation: BOR Menus > BOR General Ledger > BOR GL Interfaces > Continuous Audit
- Run Control ID: Can use the same Run Control ID for all steps
- Report should be run monthly
- Quarterly reconciliation is mandated by BOR

© 2010 Board of Regents of the University System of Georgia. All Rights Reserved.

10

**Continuous Aud Bor**

Run Control ID: CONT\_AUDIT

[Report Manager](#) [Process Monitor](#) [Run](#)

Business Unit: 73000

Beginning Fiscal Month: 1


Ending Fiscal Month: 12

Fiscal Year: 2010


**Process Scheduler Request**

User ID: OIITPAGE Run Control ID: CONT\_AUDIT

---

Server Name:  Run Date: 01/20/2010 

Recurrence:  Run Time: 2:35:24PM Reset to Current Date/Time

Time Zone:  

**Process List**

Select	Description	Process Name	Process Type	Type	Format	Distribution
<input checked="" type="checkbox"/>	ConAud A: Travel Errors	BORIF01A	SQR Report	Web	PDF	<a href="#">Distribution</a>
<input type="checkbox"/>	ConAud B: PerDiem Errors	BORIF01B	SQR Report	Web	PDF	<a href="#">Distribution</a>
<input type="checkbox"/>	ConAud C: Create File & Report	BORIF01C	SQR Report	Web	PDF	<a href="#">Distribution</a>
<input type="checkbox"/>	ConAud D: Create File & Report	BORIF01D	SQR Report	Web	PDF	<a href="#">Distribution</a>

OK Cancel

## Employee Travel CA Interface

- Resulting PDF Travel Error Report shows journal lines that have one of the following conditions:
  - Error Type 1: Open Item Key is missing
  - Error Type 2: Value in Open Item Key field could not be found in employee tables
- Depending on cause of the error, correcting journals may be needed.
- PS\_TRAVEL\_TMP\_BOR

## Employee Travel CA Interface

- Type 1 Error
  - Open Item Key is missing
  - Will need correcting journal entries
- Type 2 Error
  - Employee ID not found
  - Will need to research to see if Employee Profile is in Financials

© 2010 Board of Regents of the University System of Georgia. All Rights Reserved.

14

=====

Travel Errors - Reportable Transactions where the Open Item Key is not valid because:

Error Type 1: Open Item Key missing/blank  
Error Type 2: Open Item Key cannot be found in the Employee tables

Journal lines that appear in this section are not in the correct format for Continuous Audit Reporting.  
Corrections must be made for the journal to be reported and to reconcile to the general ledger.  
Fiscal year: 2010 Beginning Period: 1 Ending Period: 12

=====

Journal ID	Journal Line	Journal Line Ref	Journal Line Source	Account	Amount	Description	Open Item Key	Error Type
AP00443795	21	04002846	AP	641140	143.00	GEAC Conference	0213156	2
AP00452412	39	04003337	AP	641130	7.00	Lunch - 11/18/09	0213156	2
AP00452412	40	04003337	AP	641130	15.00	Dinner 11/18/09	0213156	2
AP00452412	41	04003337	AP	641130	6.00	Breakfast 11/20/09	0213156	2

Total Amount:

171.00



## Per Diem CA Interface

- BORIF01B.sqr
- Navigation: BOR Menus > BOR General Ledger > BOR GL Interfaces > Continuous Audit
- Use same Run Control as Step 1
- Report should be run monthly
- Quarterly reconciliation is mandated by BOR

© 2010 Board of Regents of the University System of Georgia. All Rights Reserved.

16


Continuous Aud Bor	
Run Control ID: CONT_AUDIT	<a href="#">Report Manager</a> <a href="#">Process Monitor</a> <a href="#">Run</a>
Business Unit: 73000 	Beginning Fiscal Month: 1
	Ending Fiscal Month: 12
	Fiscal Year: 2010 

### Process Scheduler Request

User ID: OITPAGE

Run Control ID: CONT\_AUDIT

Server Name:

Run Date: 01/20/2010 

Recurrence:

Run Time: 3:22:25PM

[Reset to Current Date/Time](#)

Time Zone:

#### Process List

Select	Description	Process Name	Process Type	Type	Format	Distribution
<input type="checkbox"/>	ConAud A: Travel Errors	BORIF01A	SQR Report	Web <input type="text"/>	PDF <input type="text"/>	<a href="#">Distribution</a>
<input checked="" type="checkbox"/>	ConAud B: PerDiem Errors	BORIF01B	SQR Report	Web <input type="text"/>	PDF <input type="text"/>	<a href="#">Distribution</a>
<input type="checkbox"/>	ConAud C: Create File & Report	BORIF01C	SQR Report	Web <input type="text"/>	PDF <input type="text"/>	<a href="#">Distribution</a>
<input type="checkbox"/>	ConAud D: Create File & Report	BORIF01D	SQR Report	Web <input type="text"/>	PDF <input type="text"/>	<a href="#">Distribution</a>

OK

Cancel

## Per Diem CA Interface

- Resulting PDF Per Diem Error Report shows journal lines that have one of the following conditions:
  - Error Type 1: Open Item Key is missing
  - Error Type 2: Vendor TIN is missing or is not in an acceptable format and will be rejected by DOAA
- PS\_PERDIEM\_TMP\_BOR

## Per Diem CA Interface

- Type 1 Error
  - Open Item Key is missing
  - Will need correcting journal entries
- Type 2 Error
  - Vendor TIN is missing or in an unacceptable format
  - Add/Update Vendor TIN under 'Additional ID Numbers' on Vendor page

© 2010 Board of Regents of the University System of Georgia. All Rights Reserved.

20

 -----  
 PerDiem Errors - Reportable Transactions where the Open Item Key is not valid because:

 Error Type 1: Open Item Key missing/blank  
 Error Type 2: Vendor TIN cannot be found in Vendor tables.

 Journal lines that appear in this section are not in the correct format for Continuous Audit Reporting.  
 Corrections must be made for the journal to be reported and to reconcile to the general ledger.  
 Fiscal year: 2010 Beginning Period: 1 Ending Period: 6

Journal ID	Journal Line	Journal Line Ref	Journal Line Source	Account	Amount	Description	Open Item Key	Error Type
AP00430452	181	04005930	AP	751105	399.00		0000301783	2
AP00438254	397	04007749	AP	751108	1,000.00	Honorarium	0000400758	2
AP00448376	315	04009723	AP	751108	3,600.00	Invoice to cover honorarium	0000400993	2
AP00449914	442	04010076	AP	751108	1,000.00	One lecture	0000400967	2

Total Amount:

5,999.00

## Continuous Audit Totals Reports

- Navigation: BOR Menus > BOR General Ledger > BOR GL Interfaces > Continuous Audit
- Same Run Control ID
- Select “ConAud C: Create Reports” on Process Scheduler
- Report should be run monthly
- Quarterly reconciliation is mandated by BOR

## Continuous Audit Totals Reports

- Resulting “Report of Salary and Travel for Continuous Audit”
  - Confirm that only employees appear in the Travel report
  - Salary will be \$0 until the Salary file is imported at the end of the Fiscal Year
  - If Salary File has been loaded, confirm that NSI codes are reflected for any payee with no salary
    - 99901 = Former Employee
    - 99902 = Employee of Another State Agency
    - A0048 = Board member

## Continuous Audit Reporting

### Continuous Audit Totals Reports

REPORT OF SALARY AND TRAVEL FOR CONTINUOUS AUDIT									
Georgia Highlands College									
Begin Date: 01-JUL-2009		End Date: 30-JUN-2010		Run Parameters: Fiscal year: 2010 Beginning Period: 1 Ending Period: 12					
Entity Code	Employee S.S. Number	Emplid	Last Name	First Name	Middle Initial or Middle Name	Suffix	BCAT Code	Total Salary Amount	Total Travel Amount
573			L	A				0.00	108.90
573			L	J	R			0.00	85.80
573			C	T	W			0.00	169.86
573			N	K				0.00	1,383.80
573			U	J	W			0.00	288.74
573			D	J				0.00	459.80
573			M	L	A			0.00	348.84
573			P	T				0.00	157.30
573			P	R	P			0.00	48.40
573			C	D	C			0.00	530.75
573			W	K				0.00	1,232.68
573			M	D	L			0.00	952.80
573			S	V	H			0.00	347.60
573			W	P				0.00	1,093.40
573			J	T	G			0.00	387.60
573			W	G	E			0.00	255.20
573			E	C	L			0.00	323.40
573			A	B	S			0.00	69.30
573			D	A	D			0.00	453.82
573			W	C				0.00	58.30
573			P	T	M			0.00	178.50
573			P	J	L			0.00	139.70
573			D	R	G			0.00	62.70
573			H	D				0.00	61.60

## Continuous Audit Totals Reports

---

- Resulting “Report of Per Diem and Fees”
  - Confirm that no employees appear in the Per Diem report

REPORT OF PER DIEM AND FEES Georgia Highlands College						
Begin Date: 01-JUL-2009		End Date: 30-JUN-2010		Run Parameters: Fiscal year: 2010 Beginning Period: 1 Ending Period: 12		
Vendor ID	TIN	Name	Account	Fee	Expense	
0000012406		NEON ENTERTAINMENT	751110	3,090.00	0.00	
0000301766		SAMYER & COMPANY LLC	751103	28,800.00	0.00	
0000301064		MODERN ACOUSTIC MUSIC COLLECTIVE	751110	1,980.00	0.00	
0000400092		TAGLIERI, JOHN	751110	1,760.00	0.00	
0000013171		HANK, CHINUA	751110	1,400.00	0.00	
0000008249		EVERYTHING BUT THE MIME, INC.	751110	11,160.00	0.00	
0000400023		JMF MUSIC, INC.	751110	5,170.00	0.00	
0000400022		GROUP H ENTERTAINMENT, LLC	751110	750.00	0.00	
0000400017		SOUTHERN OUTDOOR CINEMA, LLC	751110	2,204.00	0.00	
0000301790		MKIER, MEGAN L	751110	3,345.00	0.00	
0000010959		SUNGARD HIGHER EDUCATION, INC.	751103	7,749.00	0.00	
0000400003		PIZANO, MIGUEL	751110	640.00	0.00	
0000400004		BARNES, MICHAEL R.	751110	720.00	0.00	
0000001066		BELL, DANIEL J	751108	100.00	0.00	
0000015000		HUDSON, JABARI H	751110	640.00	0.00	
0000400002		WILLIS, RONALD LEE	751110	640.00	0.00	
0000007886		COLOMBO, MICHAEL J	751108	75.00	0.00	
0000014901		BRAMLETTE, JORDAN WYATT	751110	738.00	0.00	
0000011934		JONES, JEFF	751103	868.75	0.00	
0000400056		CHASTAIN, CAROLE	751103	325.00	0.00	
0000017391		HUDSON, TYNAN	751110	640.00	0.00	
0000007005		BURTON, MIKE	751106	175.00	0.00	
0000400001		LOMELINO, KELLY TRENT	751110	688.00	0.00	
0000400026		SCHMID, JENNIFER	751110	1,175.00	0.00	
0000400011		SUGGS, DEL	751110	2,200.00	0.00	
0000400007		COPENHAVER, CAROL D/B/A	751103	32,500.00	0.00	
0000005730		TJOHNE BOOKING	751110	8,300.00	0.00	
0000400027		COLMAN PRODUCTIONS, INC.	751110	3,750.00	0.00	
0000400024		CATHARSIS PRODUCTIONS, LLC	751110	7,000.00	0.00	
0000011290		MAUTHE, MICHAEL	751110	3,510.00	0.00	
0000002606		SMITH AGENCY	751110	1,075.00	0.00	
0000010244		AUBURN MOON AGENCY	751110	3,000.00	0.00	
0000301753		MASCHKE, JOAN	751103	430.00	0.00	
0000005029		LEADER, EDWARD	751103	1,376.00	0.00	
0000002912		SWANK MOTION PICTURES, INC.	751110	1,126.00	0.00	
0000013663		PITTS, COREY M	751110	300.00	0.00	
0000012859		SMITHSONIAN INSTITUTION TRAVELING	751110	6,625.00	0.00	
0000400005		LOM, OJILVIA	751103	350.00	0.00	
0000003889		INTERACTIVE ATTRACTIONS	751110	8,670.00	0.00	
0000003891		INTERACTIVE ATTRACTIONS	751110	3,900.00	0.00	
0000400025		RAZZAQ, GALEN A.	751110	5,000.00	0.00	
0000008435		BEAN AND BAILEY	751110	5,000.00	0.00	
0000008497		JUS' WIGGIN ENTERTAINMENT	751110	4,140.00	0.00	

## Continuous Audit Totals Reports

---

- Resulting “Continuous Audit Report”
  - Review report totals
  - The Travel and Per Diem Reports must be reconciled to the GL prior to annual submission to DOAA
  - BOR\_TRAVEL\_CONT\_AUDIT\_RECON (GL.075.003)
  - BOR\_PERDIEMS\_CONT\_AUDIT\_RECON (GL.075.004)



CONTINUOUS AUDIT REPORT  
Georgia Highlands College

STATE AUDIT REPORTING - PROOF TOTALS SUMMARY

Institution Code: 573  
Report Period Begin Date: 01-JUL-2009  
Report Period End Date: 30-JUN-2010

Report of Salary and Travel for Continuous Audit

Salary Total: 0.00  
Travel Total: 43,513.62

Report of Per Diem & Fees and Expenses

Total Per Diem & Fees: 192,419.75  
Total Expense: 0.00

## Continuous Audit Totals Reports

- If report does not reconcile to GL:
  - 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
  - Run the BOR\_JE\_PENDING query and confirm that all journals have been fully processed

## Continuous Audit Salary Load

- Salary portion of Continuous Audit report is generated from ADP & PSHRMS (FY2010 only)
- Navigation: BOR Menus > BOR General Ledger > BOR GL Interfaces > Continuous Audit Salary Load
- Browse to locate “.txt” file; upload file and run process
- ADP Process: EPOP044 FILE
  - Instructions in Payroll Manual Chapter 18, or GL Manual Part 4

© 2010 Board of Regents of the University System of Georgia. All Rights Reserved.

30

Salary Table Load

Run Control ID: SAL\_LOAD
[Report Manager](#)
[Process Monitor](#)
Run

Process Parameters

Business Unit
39000
Fiscal Year
2010
Server File Name:
2010-03-23-17.37.01.000000epop044\_390.txt
Local File Name:
epop044\_390.txt
Add
Delete
View
Detach

Save
Add
Update/Display

## FY2010 Only

- After running the Continuous Audit Salary Load, need to load information from PSHRMS for FY2010 only
- Navigation: BOR Menus > BOR General Ledger > BOR GL Interfaces > Cont Audit Salary Merge 2010
- Must be run second
- Will send Instruction Document with Release Notes

© 2010 Board of Regents of the University System of Georgia. All Rights Reserved.

32

2010 HR Salary Mge

Run Control ID: 2010SALLOAD
[Report Manager](#)
[Process Monitor](#)
[Run](#)

### Process Parameters

Business Unit

Server File Name:  
Local File Name:

[Add](#)
[Delete](#)
[View](#)
[Detach](#)

[Save](#)
[Notify](#)

[Add](#)
[Update/Display](#)

## Continuous Audit Salary Load

- After process successfully completes, open PDF file
- Report shows all salary records that were imported (PS\_CONT\_AUD\_HR\_BOR)
  - Any salary records not loaded will be shown at the end of the report
  - Most common error is that the process cannot locate the employee in the employee records using the SSN provided in the ADP Salary file
  - Will need to work with ADP to determine fix

© 2010 Board of Regents of the University System of Georgia. All Rights Reserved.

34

REPORT OF SALARY AND TRAVEL FOR CONTINUOUS AUDIT Georgia College & State Univer										
Begin Date: 01-JUL-2009			End Date: 30-JUN-2010		Run Parameters: Fiscal year: 2010 Beginning Period: 1 Ending Period: 12					
Entity Code	Employee S.S. Number	Emplid	Last Name	First Name	Middle Initial or Middle Name	Suffix	BCAT Code	Total Salary Amount	Total Travel Amount	
536	2	8	A	M	P		Not Found	0.00	637.14	
536	2	3	A	D	B		140X	18,566.16	426.69	
536	2	7	O	J	W		200X	13,879.60	152.00	
536	2	2	O	W	D		202X	10,000.00	10.00	
536	2	7	A	A			202X	9,200.00	253.17	
536	2	5	R	L	M		201X	16,000.00	474.00	
536	2	5	O	A	B		202X	15,317.66	732.39	
536	2	6	I	H	L		196X	14,987.00	790.27	
536	2	9	H	G	L		413X	10,783.00	692.52	
536	2	8	Y	J	N		410X	6,953.34	105.00	
536	2	4	T	W	R		Not Found	0.00	768.29	
536	2	5	E	S	M		492X	12,490.12	592.00	
536	2	9	A	B	R		200X	12,184.40	922.85	
536	2	3	I	E	L		202X	11,710.00	263.50	
536	2	2	O	E			203R	437.50	111.50	
536	2	9	R	C	J		300X	10,374.10	1,367.49	
536	2	0	A	C	N		945X	1,595.35	427.83	
536	2	1	A	W	A		905X	778.75	189.90	
536	2	6	A	C	J		201X	13,421.40	63.80	

## Continuous Audit NSI Code Entry

- DOAA requires that any employee reported to have Travel expenses have either a Salary reported or a Non-Salary indicator
- NSI Code no longer needed in Vendor; added on new page
- Navigation: BOR Menus > BOR General Ledger > BOR GL Interfaces > Continuous Audit NSI CD Entry
- Select Business Unit > Search
- Select Employee ID > Select NSI Code
- Add rows if needed; Save page
- PS\_BOR\_NSI\_EMPLID

© 2010 Board of Regents of the University System of Georgia. All Rights Reserved.

36

**Continuous Audit NSI Entry**

**Business Unit** 45000

EmplID	Name	BOR NSI Code
1 0023971	McAvoy, Patrick Joseph	99901
2 0020279	Compretta, Constance Haley	99902
3 0063544	Lee, Annette H	A0048
4 0070551	Weinmann, Karen Alice	A0048

Customize | Find | View All | First 1-4 of 4 Last

Save Return to Search Notify Add Update/Display

## Rerun BORIF01C.sqr

---

- After entering NSI codes where needed, you will need to rerun the Continuous Audit Totals Reports (BORIF01C.sqr)
- Will show updated NSI codes for any payee with no salary

## Continuous Audit Totals Report

---

- Confirm that a BCAT Code and Salary Amount are populated for all employees (if no salary amount, NSI Code should be listed in BCAT Code column)
  - Should not see “not found” in the file: this indicates that an employee does not have a Salary or an NSI code

REPORT OF SALARY AND TRAVEL FOR CONTINUOUS AUDIT										
Georgia College & State Univer										
Begin Date: 01-JUL-2009		End Date: 30-JUN-2010		Run Parameters: Fiscal year: 2010 Beginning Period: 1 Ending Period: 12						
Entity Code	Employee S.S. Number	Emplid	Last Name	First Name	Middle Initial or Middle Name	Suffix	BCAT Code	Total Salary Amount	Total Travel Amount	
536	2	8	A	M	F		99902	0.00	637.14	
536	2	3	A	D	B		140X	18,566.16	426.69	
536	2	7	O	J	W		200X	12,879.60	152.00	
536	2	2	O	W	D		202X	10,000.00	10.00	
536	2	7	A	A			202X	9,200.00	253.17	
536	2	5	R	L	M		201X	16,000.00	474.00	
536	2	5	O	A	B		202X	15,317.66	732.39	
536	2	6	I	H	L		196X	14,987.00	790.27	
536	2	9	H	G	L		413X	10,783.00	682.52	
536	2	8	Y	J	N		410X	6,953.34	105.00	
536	2	4	T	W	R		A0048	0.00	769.29	
536	2	5	E	S	M		482X	12,490.12	582.00	
536	2	8	A	B	R		200X	12,184.40	922.85	
536	2	3	I	E	L		202X	11,710.00	263.50	
536	2	2	O	E			203R	437.50	111.50	
536	2	9	R	C	J		300X	10,374.10	1,367.49	
536	2	0	A	C	N		945X	1,585.35	427.83	

## Continuous Audit Totals Report

- Review the reports
- Review Salary and Travel report and confirm that only employees appear (no 3<sup>rd</sup> party vendors)
  - Confirm that employee SSNs are valid 9-digit SSNs
  - Confirm that the employee names are correct
- Review the Per Diem file for errors
- If you find any issues in either report, need to make corrections and run the related reports again

## Continuous Audit File Creation

- Navigation: BOR Menus > BOR General Ledger > BOR GL Interfaces > Continuous Audit
- Same Run Control ID
- Select “ConAud D: Create File & Report” on Process Scheduler
- After process successfully completes and is posted, go through View Log/Trace.
  - Combined Salary and Travel file and the Per Diem file have been created as .txt files

© 2010 Board of Regents of the University System of Georgia. All Rights Reserved.

42

### Process Scheduler Request

User ID: SUPPORT Run Control ID: CONT\_AUD

---

Server Name:  Run Date: 05/19/2009

Recurrence:  Run Time: 7:08:07PM

Time Zone:

Select	Description	Process Name	Process Type	*Type	*Format	Distribution
<input type="checkbox"/>	ConAud A: Travel Errors	BORIF01A	SQR Report	Web	PDF	<a href="#">Distribution</a>
<input type="checkbox"/>	ConAud B: PerDiem Errors	BORIF01B	SQR Report	Web	PDF	<a href="#">Distribution</a>
<input type="checkbox"/>	ConAud C: Create File & Report	BORIF01C	SQR Report	Web	PDF	<a href="#">Distribution</a>
<input checked="" type="checkbox"/>	ConAud D: Create File & Report	BORIF01D	SQR Report	Web	PDF	<a href="#">Distribution</a>



## Continuous Audit File Creation

---

- Need to change the “.txt” files to “.csv” files for submission to DOAA
  - Right-click on the file link
  - Choose “Save Target As...”
  - Change the extension of the file from “.txt” to “.csv”
  - In the “Save as Type” field, select “All Files”
  - Click the “Save” button

## Continuous Audit File Creation

---

- Review the files and confirm that the totals agree with the reports from the Continuous Audit Totals Report
- Once you confirm all info and totals are correct, need to save the files for submission to DOAA
- Refer to Data Reporting Instructions from DOAA for submitting annual file

## CA Vendor Obligation/Payment Report

- DOAA is responsible for collecting certain specific grant and contract payments and making the data available on a searchable website = Vendor Obligation/Payment Report
- Two flat files submitted by each institution to DOAA, along with other Continuous Audit files

## CA Vendor Obligation/Payment Report

- Certain grants should not be subject to Open Records Requests
- Grant Exclusion page developed to allow these grants to be excluded from the reporting
- Once grants are excluded, run:
  - BORIF37A: Vendor Obligation
  - BORIF37B: Vendor Payments

## CA Vendor Obligation/Payment Report

- The following have been excluded from this reporting:
  - Funds 13xxx, 3xxxx, 4xxxx, and 6xxxx
  - Accounts
    - 640xxx (employee travel)
    - 751xxx – 752xxx (Per Diem and Fees)
    - 1321xx – 1324xx and 139100 (prepaid)
  - Banner student payments
  - FSA

## CA Vendor Obligation/Payment Report

- Grant Exclusion
- Navigation: BOR Menus > BOR General Ledger > BOR GL Interfaces > Continuous Audit Vendor > Add/Update Grant Exclusion
- Enter Business Unit
- Need to update this page each fiscal year

**Grant Exempt BOR**

Business Unit 27000

Customize | Find | View All | First 1-2 of 2 Last

*Project/Grant	Description	Reporting Year		
1 035	Cops Grant-Public Safety	2010	+	-
2 021	ACG Grant	2010	+	-

Save Notify Add Update/Display

## CA Vendor Obligation/Payment Report

- Run Vendor Obligations process to produce a list of open encumbrances for the current reporting budget year, as of 6/30
- Navigation: BOR Menus > BOR General Ledger > BOR GL Interfaces > Continuous Audit Vendor > Continuous Audit Vendor Report

**Process Scheduler Request**

User ID: cwarner Run Control ID: CONTAUD\_VNDR

---

Server Name:  Run Date: 04/29/2009

Recurrence:  Run Time: 10:34:02AM

Time Zone:

**Process List**

Select	Description	Process Name	Process Type	*Type	*Format	Distribution
<input checked="" type="checkbox"/>	ConAud Vndr A: Vendor Oblig.	BORIF37A	SQR Report	Web <input type="button" value="v"/>	PDF <input type="button" value="v"/>	<a href="#">Distribution</a>
<input type="checkbox"/>	ConAud Vndr B: Vendor Payment	BORIF37B	SQR Report	Web <input type="button" value="v"/>	PDF <input type="button" value="v"/>	<a href="#">Distribution</a>

## CA Vendor Obligation/Payment Report

- After process runs to success, return to Cont Audit Vendor Report
- From Continuous Aud Vendor BOR page, click the Run button again to run the Vendor Payments process
  - Produce a list of payments with a transaction date within the current reporting FY, using the same parameters

### Process Scheduler Request

User ID: cwarner Run Control ID: CONTAUD\_VNDR

---

Server Name:  Run Date: 04/29/2009

Recurrence:  Run Time: 10:34:02AM

Time Zone:

#### Process List

Select	Description	Process Name	Process Type	*Type	*Format	Distribution
<input type="checkbox"/>	ConAud Vndr A : Vendor Oblig.	BORIF37A	SQR Report	Web <input type="button" value="v"/>	PDF <input type="button" value="v"/>	<a href="#">Distribution</a>
<input checked="" type="checkbox"/>	ConAud Vndr B: Vendor Payment	BORIF37B	SQR Report	Web <input type="button" value="v"/>	PDF <input type="button" value="v"/>	<a href="#">Distribution</a>

OK

Cancel

## CA Vendor Obligation/Payment Report

- PDF files for BORIF37A and BORIF37B
  - Review Vendor Obligation Report and confirm that Grant information that should be excluded from reporting is not included
  - Verify that Vendor Payment Report does not include Grants that should be excluded from reporting is not included
  - Reports will include Vendor TIN if populated in vendor; must be TIN and not Vendor ID
    - If no TIN is found, Vendor ID is populated
    - DOAA may reject files with Vendor ID and no TIN

## CA Vendor Obligation/Payment Report

- After reviewing reports, save the “.aud” files as “.csv” files
  - Right-click the “.aud” file
  - Select “Save Target As...”
  - Select appropriate directory
  - Change extension from “.aud” to “.csv”
  - In the “Save as Type” field, select “Any Files”

## Submitting Files to DOAA

---

- DOAA has a redesigned website
- Salary, Travel & Professional Services files are due to DOAA by August 16<sup>th</sup>
- SB300 Vendor Payments and Obligations files are due to DOAA by October 15<sup>th</sup>

## New Addition

---

- New SB389
  - New file will be an indexed listing of all agencies and end users receiving any federal pass-through moneys and an itemized enumeration of the expenditure of such moneys
  - Will be due along with the Vendor Payment and Obligation files by October 15<sup>th</sup>



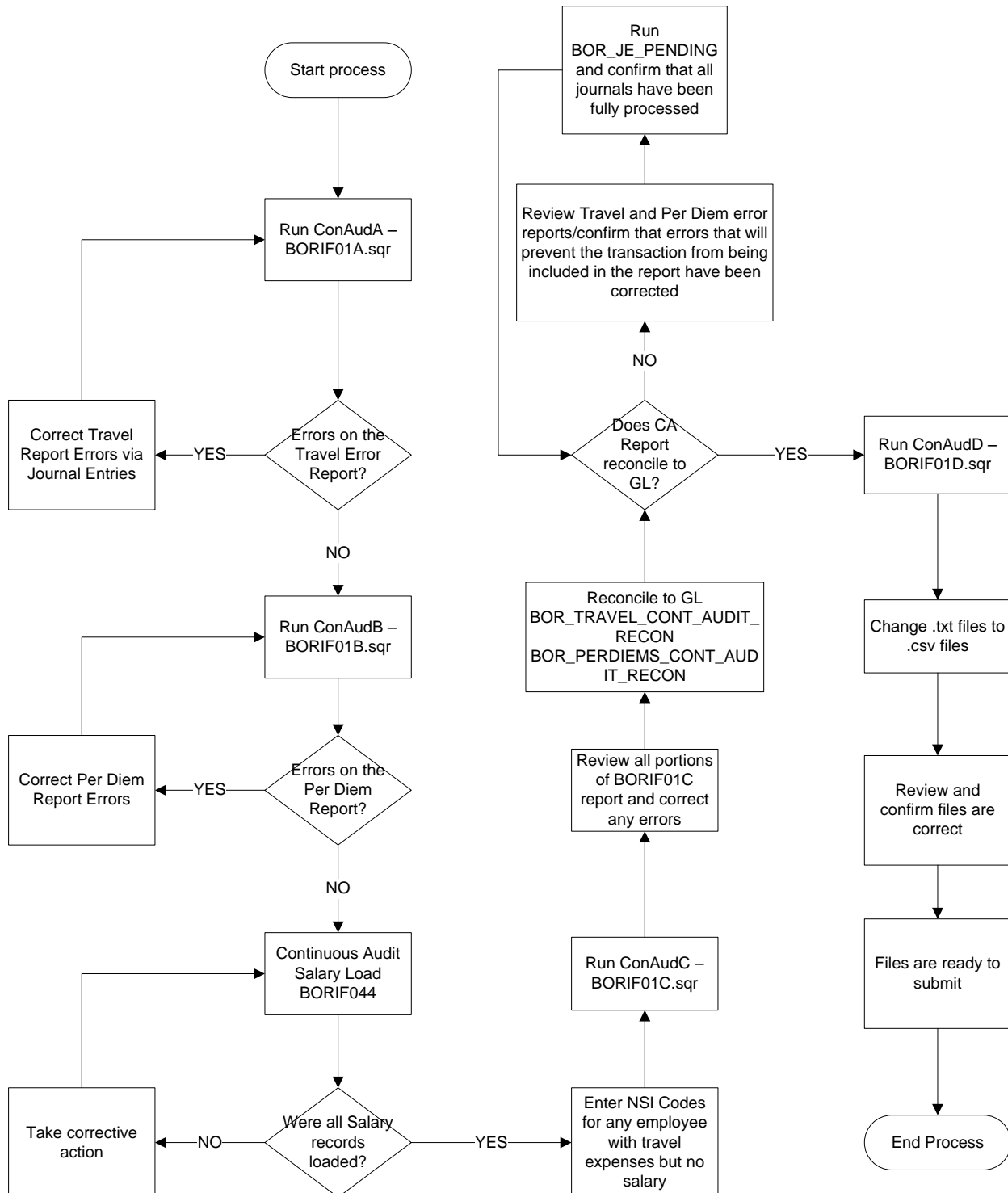
**Objectives**

- Identified the purpose of the Continuous Audit process
- Reviewed the changes to the Continuous Audit process
- Reviewed different types of Continuous Audit errors and how to correct those errors
- Identified how to save Continuous Audit files for submission to DOAA
- Identified how to complete the Vendor Payment Obligation/Payment Reporting process

**Archive**

- The archive for this Wimba Training Session will be available no later than end of day, May 7, 2010.
- The archive and training materials will be posted to the GeorgiaFIRST website:  
<http://www.usg.edu/gafirst-fin/training/archives/>

## Continuous Audit Process Flow



## **SB300 Vendor Obligation/Payment Report Process Flow**

