

Located in the DWH Portal, the EMS Monitoring Report is located in the newly renamed Review Tools Folder.

Folders	Name	Type	Modified	Description
SMART Space	Account Holder By PTAO	Folder	8/18/09 11:32 AM	Account Holder By PTAO - Group A
+ Developers Only	Account Holder By Person	Folder	7/11/08 2:52 PM	Account Holder By Person - Group A
- University Standard Reports	Account Intersection	Folder	8/11/08 9:33 AM	New Category
+ Finance	Adhoc Reports	Folder	4/1/09 2:01 PM	New Category
HR	Capital Management Reports	Folder	2/25/08 1:18 PM	New Category
+ ISP	Commitment Trans Detail	Folder	9/22/08 1:46 PM	New Category
+ Procurement	Current Month Detail	Folder	7/9/08 8:05 AM	New Category
Usage	Fund Balance Activity	Folder	2/26/08 10:46 AM	New Category
+ Yale Next	General Accounting	Folder	9/22/08 11:57 AM	New Category
	Grant Balance	Folder	6/2/09 11:49 AM	New Category
	Installation Commitment Detail	Folder	2/25/08 1:24 PM	New Category
	Payroll Earnings Detail	Folder	2/25/08 1:24 PM	New Category
	Position Plan	Folder	2/26/08 10:51 AM	New Category
	<b>Review Tools</b>	Folder	8/14/09 11:03 AM	Review Tools
	Source Group Activity	Folder	2/25/08 1:26 PM	New Category

## EMS Monitoring Report Home Page

- a. New Feature: Ability to limit data by date(s)
  - Run report normally with a chosen fiscal period. Limit data for detailed views (*does not include trend view*) after processing of report is completed.

**EMS Monitoring Report**

**Report Processing is complete.**  
Select from the following options

Report Glossary

New Feature allows the data to be limited

**Date Range (Optional)** Start Date

End Date

<b>Cash Out-of-Pocket Related Views</b>	Out-of-Pocket vs. P-Card Transaction Trend	Yale P-Card Personal Charges	Potential Duplicate P-Card Transactions	Potential Duplicate OOP Reimbursements
<b>High Risk and Compliance Flags</b>	Alcohol Charges	Miscellaneous ET Usage	Non-Sponsored High Risk Exp Codes	Transactions Under \$75
	Non-Sponsored Unallowable Code Usage	Sponsored Research Unallowable and High-Risk Charges	Uncommon Merchants	Transactions Under \$75 Trend
<b>Approver Views</b>	Compare Approver and Preparer Grade Levels	Preparer and Approver are Same Individual	Approvers and Preparers who approve each others ERs	
<b>Other Compliance related Views &amp; Details</b>	Active Cards Per CardHolder	Non-Contract Vendors	Processed ER Aging	Same Day Purchase

### 3. The Report Glossary provides a brief description of the Views available in the EMS Monitoring Report.

Category	Button Title	Brief Description
Cash out-of-pocket Related Views	Out-of-Pocket vs. P-Card Transaction Trend	Provides a trend view of transactions for Out-of-Pocket reimbursements P-Card payments - personal, and P-Card payments to vendors.
Cash out-of-pocket Related Views	Yale P-Card Personal Charges	Provides a detail view of transactions that were charged to a University P-card, and then classified as personal expenses.
Cash out-of-pocket Related Views	Potential Duplicate P-Card Transactions	Identifies P-Card transactions for the same individual having the same date and amount for possible duplicate transactions.
Cash out-of-pocket Related Views	Potential Duplicate OOP Reimbursements	Identifies Out-of-Pocket transactions for the same individual having the same date and amount for possible duplicate reimbursements.
High Risk and Compliance Flags	Alcohol Charges	Provides a detail view of transactions that use Expenditure Type 873000 - Alcohol.
High Risk and Compliance Flags	Miscellaneous ET Usage	Identifies transactions charged to an Expenditure Type classified as a "miscellaneous" code.
High Risk and Compliance Flags	Non-Sponsored High Risk Exp Codes	Identifies transactions posted to Expenditure Types that are included in the list of high-risk ET's for EMS/P-Card transactions.
High Risk and Compliance Flags	Transactions Under \$75	Identifies all transactions that are less than \$75.
High Risk and Compliance Flags	Non-Sponsored Unallowable Code Usage	Identifies transactions posted to Expenditure Types that contain the word "Unallowable."
High Risk and Compliance Flags	Sponsored Research Unallowable and High-Risk Charges	Identifies charges posted to sponsored research accounts that use Expenditure Types that are classified as "Unallowable" (highlighted in yellow) or "High Risk (no highlighting).
High Risk and Compliance Flags	Uncommon Merchants	Identifies transactions that contain a Merchant name that is included on the list of uncommon vendors, as defined and updated by AP.
High Risk and Compliance Flags	Transactions Under \$75 Trend	Provides a trend view of all transactions that are less than \$75.
Approver Views	Approver Grade Level is lower than Initiator/Preparer Grade Level	Provides information on the Initiator and preparer and approver with grade levels.
Approver Views	Preparer and Approver are Same Individual	Identifies transactions where the Approver and the Preparer are the same individual.
Approver Views	Approvers and Preparers who approve each others ERs	Summarizes transactions where individuals Approve and/or Prepare each others ERs.

Other Compliance related Views and Details	Active Cards Per Cardholder	Lists P-cards by Cardholder; includes name, job code and number of cards currently assigned.
Other Compliance related Views and Details	Non-Contract Vendors	Provides detail on P-Card transactions that used a non-employee/non-contract vendor.
Other Compliance related Views and Details	Processed ER Aging View	Provides the number of days it took to process a transaction
Other Compliance related Views and Details	Same Day Purchase	Provides information on transactions where a merchant is charged more than once on the same day for the same card holder.

#### 4. Further Information on views and filters

##### A. Out-of-Pocket V. P-Card Trend View:

- a. The Trend view now includes a total column for all the transactions that appear in the view. You may wish to limit the transaction periods and respective total for a specific fiscal year or quarter. To do this follow these steps:
  1. Open the Trend View
  2. Hold down the Control (CTRL) key.
  3. Using your mouse click on the fiscal periods you wish to include in your “new” view.
  4. Right Click and choose “Focus on Items”. Your view will now contain only the fiscal periods requested along with totals limited to those fiscal periods.
  5. If you right click on one of the fiscal periods, you can choose “Show all items” and your view will again contain all the originally processed data.
  6. You may “Focus” on any data element as well as multiple data elements (ex: fiscal period and Out-of-Pocket” transactions).
- b. The Out-of-Pocket v. P-Card View is a Trend Report. Detailed transaction information is only available on transaction views; not trend views.

**B. Unusual Merchants View:** The transactions contained in this view have been filtered against a list of “Unusual” Merchant names as defined by Quality Assurance and procurement. When a Merchant name contains key words that have been identified as being associated with inappropriate transactions it will appear on this view.

##### a. Examples of key words contained in this filter:

- BidPayCash, Cybercash, Cash or Verisign
- ETrade or Scottstrade

**C. Sponsored Research Unallowable and High-Risk Charges:** The transactions in this view are filtered using two distinct lists of Expenditure Types.

- a) Expenditure Types classified by U.S. Government as Unallowable on a Sponsored Award.
  - Unallowable Charges will be highlighted in yellow

- b) Expenditure Types classified by other US Government Policy, GCFA and Controllers Office as High-Risk as they are **normally** not allowed on grants.
- The ET's on the High-Risk filter list made it there for a variety of reasons:
    - The ET should no longer be used and will be phased out (821010 Supplies-Office-Procard; 822000VIP Card)
    - The ET represents transactions associate with Facility and Administration charges that are not allowed on **most** sponsored awards (821000 Office Supplies; 832700 Laundry)
    - The ET represents transactions classified as Miscellaneous. As mentioned in a prior View for Non-Sponsored Account transactions, we are trying to limit the use of these codes as they do not provide clarity into the activity that hit the account.
    - The ET represents transactions that have restrictions associated with them (Foreign Travel on a sponsored award or capital equipment purchases)

**C. Non-Sponsored High-Risk Code Usage:** The transactions in this view are filtered using a list of Expenditure Types that may be considered High-Risk.

- a) The ET's on the filter list made it there for a variety of reasons:
- The ET should no longer be used and will be phased out (821010 Supplies-Office-Procard; 822000VIP Card Expense)
  - The ET represents payments to individuals that you may want to review (833500 Honoraria; 833900 Study Subjects; 910700 Prizes and Awards)
  - The ET represents transactions that are for restricted/special uses (833200 Moving and Relocation; 911000 Commissions; 911800 Parking Tickets)

**D. Non-Sponsored Unallowable code usage:** Unallowable Expenditure Type transactions may not be included in the indirect cost rate calculation so it is important that we use these ET's accurately and appropriately.

- a. These transactions are filtered using an abbreviated list of Expenditure Types that contain the word Unallowable and can be used in the EMS system.

**E. Miscellaneous Code Usage View:** Miscellaneous Codes are often being used for expenses for which ET's more appropriate to the transaction already existed. Using the correct code facilitates more accurate reporting To reduce the usage of Miscellaneous Codes:

- a) New ET's were created and the ET Hierarchy has been rearranged in more logical groupings to facilitate their correct usage the first time something is charged.
- b) Departments know have the opportunity to request a new ET based on significant financial activity or reporting needs.