TRANSFER OF EXPENSE WEB APPLICATION
USER TRAINING MANUAL

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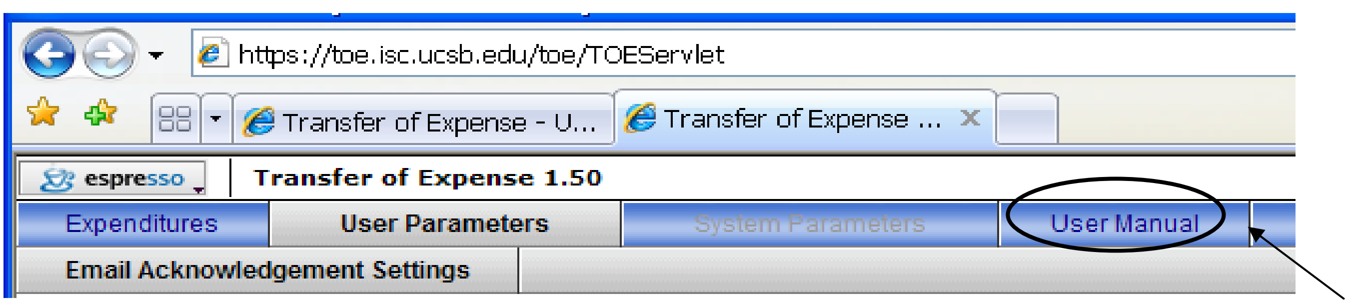
A. Overview

The Transfer of Expenditures (TOE) application allows for the transfer of non-payroll expenditures recorded in the general ledger. It is a secure web based application using SSL protocol to encrypt data.

Authorization to the application is based on the user's level of responsibility. The level of responsibility for one or more departments is assigned to a user when a password is issued for access to TOE. There are Preparers and various levels of Reviewers. The application also contains an edit process based on Risk Levels. Risk Levels are determined by the funds included in the transfer, age of the original transaction, transfers crossing fiscal years, equipment purchases 60 days prior to a contract or grant end date, and balance sheet transfers to or from federal contracts and grants. Review level required for a transaction depends on the Risk Level given to the transfer. See Risk Levels on page 5.

- The TOE User manual is located on the accounting website: **http://accounting.ucsb.edu**
    - Forms and Information
        - Extramural Funds Management
            - User Manuals
                - Transfer of Expanse User Manual

The manual can also be launched from the TOE system located on the top menu bar next to system parameters.



- It is required to be registered in the UCSB directory to setup a NetID/password to access the TOE System. The directory is located at the following web address:

http://directory.ucsb.edu/webapp.html

B. Workstation Software/Hardware Requirements

- The employee must be registered in the UCSB Directory Service (LDAP) to access the Transfer of Expense (TOE) System. The LDAP User ID and passwords are used to launch into the TOE system.
- Supported Browsers:
    - Microsoft Internet Explorer 6.0+
    - Mozilla Firefox 1.0+
    - Apple Safari 1.2+
    - Netscape 7.0+
- Adobe Reader 5-8 Non-Professional and newer is supported.

C. DSA/Level of Responsibility

DEPARTMENT SECURITY ADMINISTRATOR (DSA)

- The Department Security Administrator will set up the employee as a Preparer Level I and/or a Reviewer I using the appropriate security codes listed below:

- PREPARER LEVEL I (TOE-PRE1)
    - The role of the Preparer is to create the transfer of expense. The Preparer can only select non-payroll source transactions from a department assigned to them or any department within their control point. The source transactions are line item expenditures that are in the general ledger. Only a Preparer can modify a transfer.

- REVIEWER I (TOE-REV1)
    - The role of the Reviewer I is to review and approve or reject department transfers. The Reviewer I can also review and approve, or reject inter-department transfers.

- REVIEWER II (TOE-REV2)
    - This level is assigned only to personnel within the Accounting Service & Controls department. The role of Reviewer II is an Accounting Service & Controls function.

- REVIEWER III (TOE-REV3)
    - This level is assigned only to personnel within the Accounting Service & Controls department. The role of Reviewer III is to review and approve or reject all high risk transfers.

- AUDITOR (TOE-AUD)
    - This level is assigned only to personnel within the Accounting Services & Controls department. The role of the Auditor is to review all transfers in the system.

- ADMINISTRATOR (TOE-ADM)
    - This level is assigned only to personnel within the Accounting Service & Controls department. The role of the Administrator is to monitor and update system parameters.

D. Risk Levels

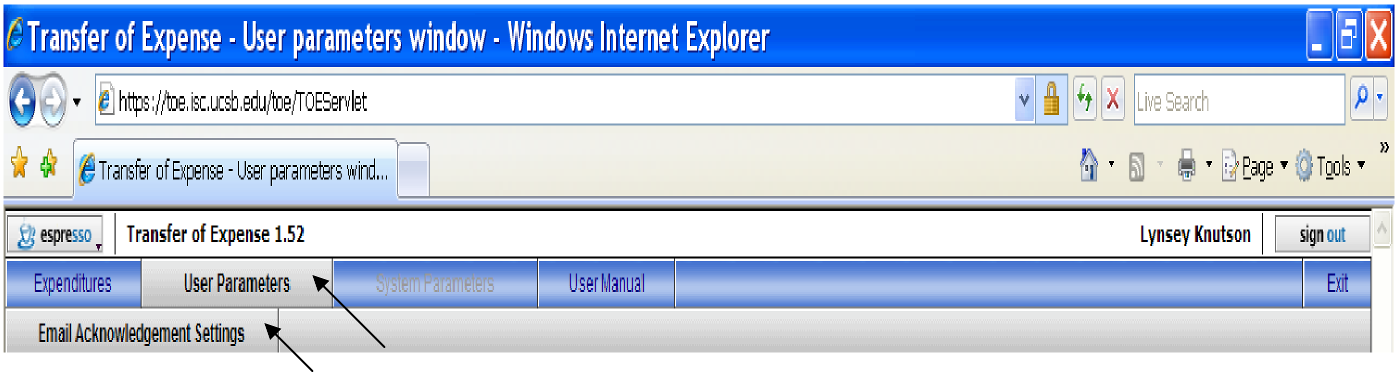
- **No/Low Risk Transfer**
    - All no/low risk transfers require department level Reviewer I approval.
    - No/low risk transfers are subject to Post Audit Review by the Accounting Office.
    - No/low risk transfers include any transfers that are not listed below as high risk.

- **High Risk Transfer**
    - All high risk transfers require department level Reviewer I.
    - The risk level of the transfer will be determined by the highest risk level of all transfers on the form.
    - All high risk transfers must be reviewed by a level III Reviewer in addition to the regular department level I Reviewer.
    - The preparer is notified when the transfer is high risk.
    - High risk transfers include the following transfers:
        - Any transfers to Federal or Federal Flow Through funds
        - Any transfer made 120 days after the original ledger date of the expense

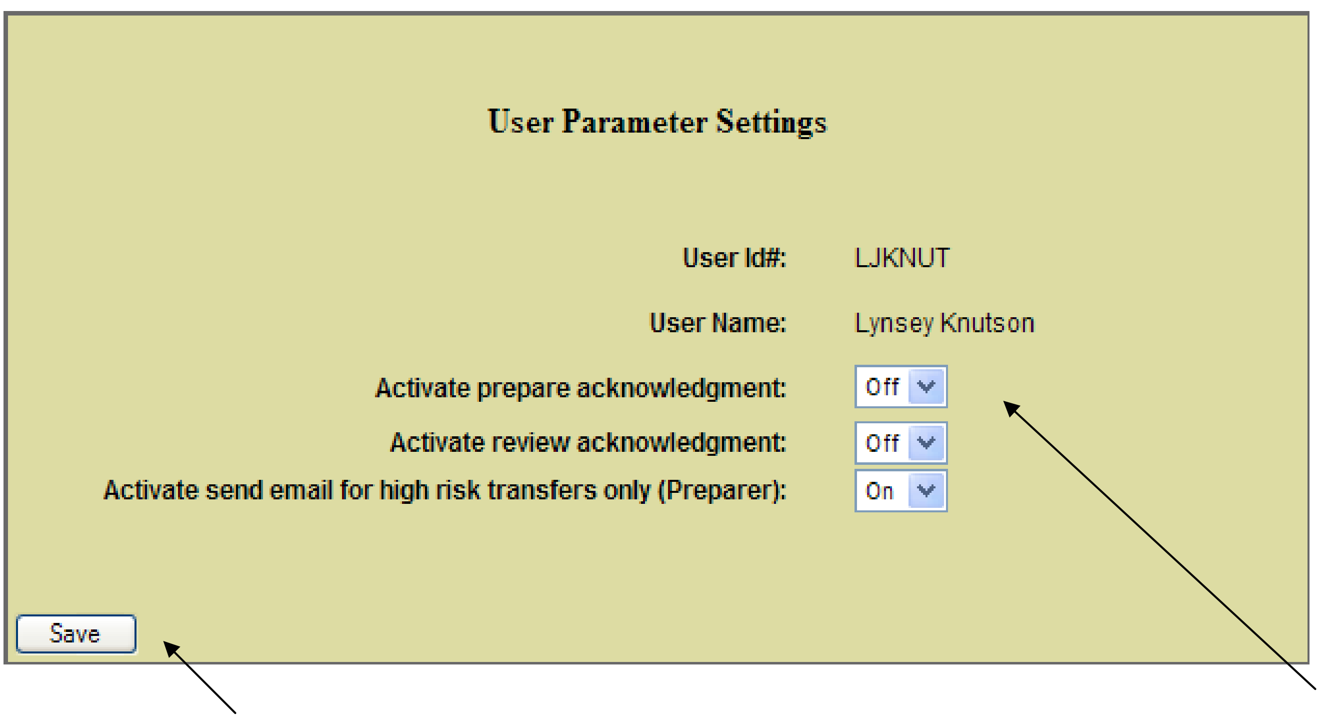
E. Emails

General Information

- Email acknowledgements can be turned off by the user.
    - Click on “User Parameters” located on the top menu bar.

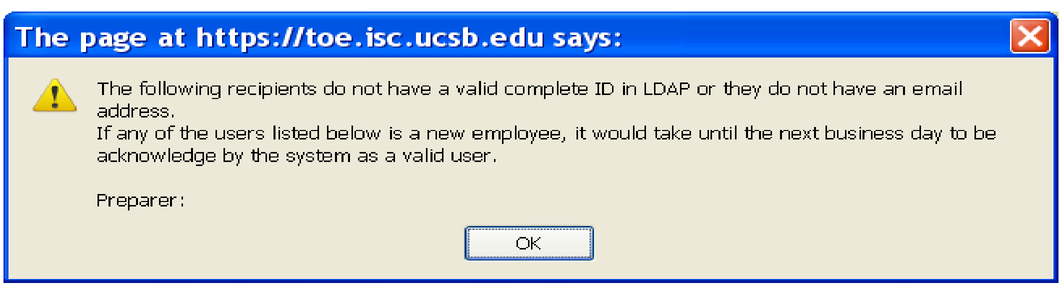


- Next, click on Email Acknowledgement Settings.
- The “User Parameters Settings” box is where you turn your email on/off.
- Click the save button after any corrections are made.



E. Emails (continued)

- **Turn off Emails:**
    - The employee can turn off receipts of email via user preferences.
    - When a transaction is rejected or partially approved, an email will be sent to all the preparers in the preparer group of the transfer even if they have email review acknowledgement turned off.
    - Email preferences such as turning on or off email acknowledgements are not for rejections.
- **Preparer**
    - Save and Submit:
        - After preparing a successful transfer, an email will be sent to all required Level I and III Reviewers of the source and target transactions (*see Chapter II Functional Terms & Process; for details on source & target transactions)* who have email prepare acknowledgements turned on.
    - Pressing the 'cancel' button on the email stops the transfer from being 'saved and submitted'. The transfer can be modified and submitted or deleted.
    - Unregistered Departments:
        - When an attempt is made to send an email to a department with no assigned TOE users, an error message will display that warns the Preparer of this fact:



- Approved Transfers:
    - An email is sent to the preparer if the transfer is approved.
- Returned Transfers
    - If the explanation is not sufficient, the Reviewer I will return the transfer to the Preparer requesting additional explanation by changing the status of the transfer to In-Process. An email will be sent to all the preparers in the preparer group.

E. Emails (continued)

Preparer (continued)

- Rejected Transfers by reviewer I or III:
  - Whenever a transaction is rejected, the Preparer must acknowledge that some or all of their transaction was rejected.
  - Upon rejecting a transaction, all preparers in the preparer group will receive an email message indicating this fact; however the approved target transactions will be updated to the FTD (Financial Transaction Database) immediately.
  - The Preparer will then need to acknowledge each transaction that was rejected on the creation screen by pressing the Acknowledge Rejected Transaction button.
    - **(Refer to page 53 for the rest of the Acknowledgement of a Rejected Transaction process)**

Reviewer I

- Save and Submit:
  - After preparing a successful transfer, an email will be sent to all required Level I and III Reviewers of the source and target transactions (*see Chapter II Functional Terms & Process; for details on source & target transactions).*
- Approved Transfers:
  - The last person who reviews a transfer will trigger the update to the Financial Transaction Database as well as an email acknowledgement that the transaction has taken place. An email will be sent to the Preparer of the transaction if email review acknowledgement is turned on and the expenditure is not high risk.
- Returned Transfers
  - If the explanation is not sufficient, the Reviewer I will return the transfer to the Preparer requesting additional explanation by changing the status of the transfer to In-Process located in the view screen. An email will be sent to all the preparers in the preparer group.
- Rejected Transfers:
  - If any target transaction(s) are rejected, the Level I Reviewer will be prompted to add additional text to the body of the email explaining why some or all of the transfer was rejected.

E. Emails (continued)

Reviewer I (continued)

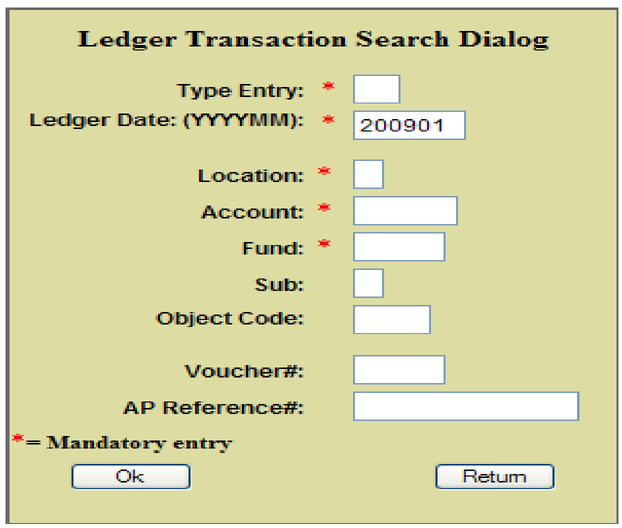
- No/Low Risk Becomes High-Risk:
    - If a transaction is saved and classified by the system as a no or low risk and then becomes high-risk due to lag-time, then an email will be sent back to the creator at the time the transaction is converted to high-risk.

Reviewer III

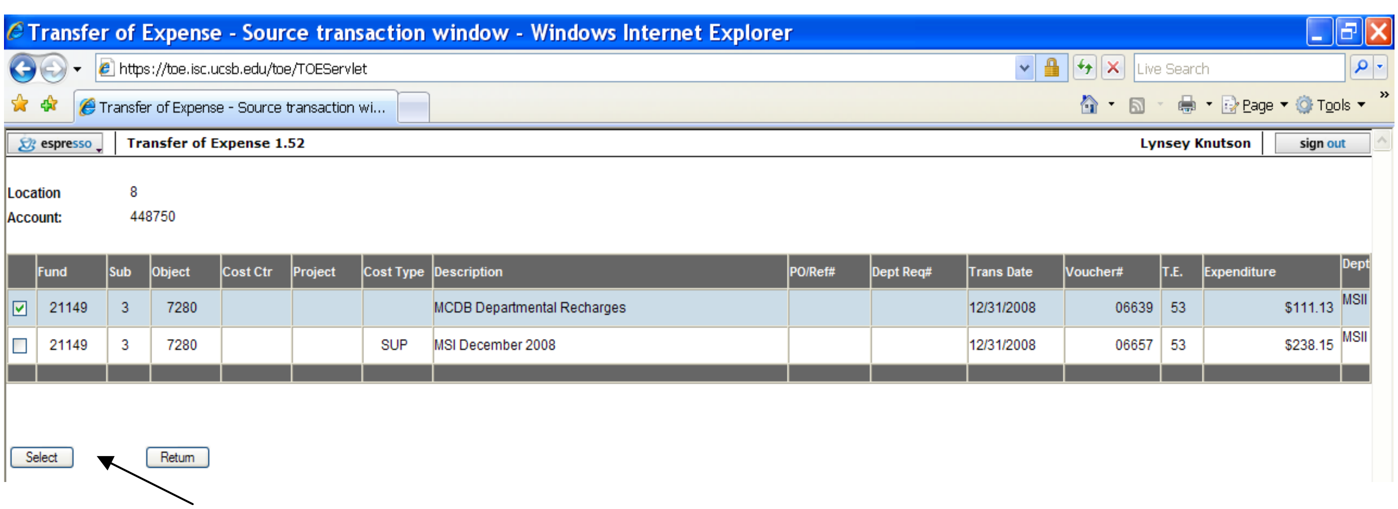
- Save and Submit:
    - After preparing a successful transfer, an email will be sent to all required Level I and III Reviewers of the source and target transactions (*see Chapter II Functional Terms & Process; for details on source & target transactions).*
- Approved Transfers:
    - An email will be sent to the preparer if the transfer is approved.
- Returned Transfers
    - If the explanation is not sufficient, the Reviewer III will return the transfer to the Preparer requesting additional explanation by changing the status of the transfer to In-Process. An email will be sent to all the preparers in the preparer group.
- Rejected Transfers:
    - If any target transaction(s) are rejected, the Level III Reviewer will be prompted to add additional text to the body of the email explaining why some or all of the transfer was rejected.
    - The rejected transfer email will be sent to the Reviewer I and all the preparers in the preparer group. All the preparers in the preparer group will receive this email even if their email review acknowledgment is turned off.

A. Source Transaction

- Source Transaction
    - A source transaction is the selected expense originally posted to the general ledger that is to be transferred to another account/fund number. Source transactions are from the general ledger located in the Financial Transaction Database (FTD). There can be only one source transaction to a transfer.
- Search for a Source Transaction:
    - Select the “Prepare” button on the bottom of the initial screen for your department.
    - The window below will appear. Enter the mandatory information to request transactions located in the Financial Transaction Database (FTD) and click on the OK button.

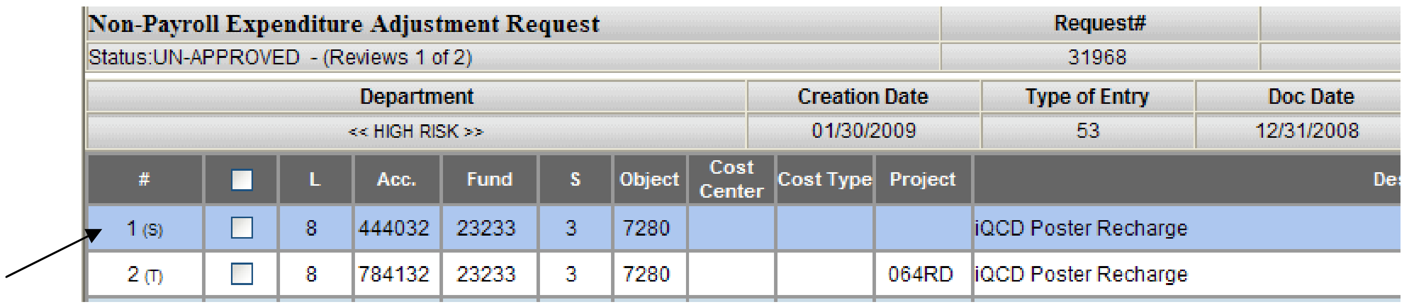


- A list of expenses will be displayed. Click the box next to the transaction to be transferred and click on the “select” button.



A. Source Transaction (continued)

- The source transaction is located in the first column in the first row indicated by an (S) on the right of the row number.

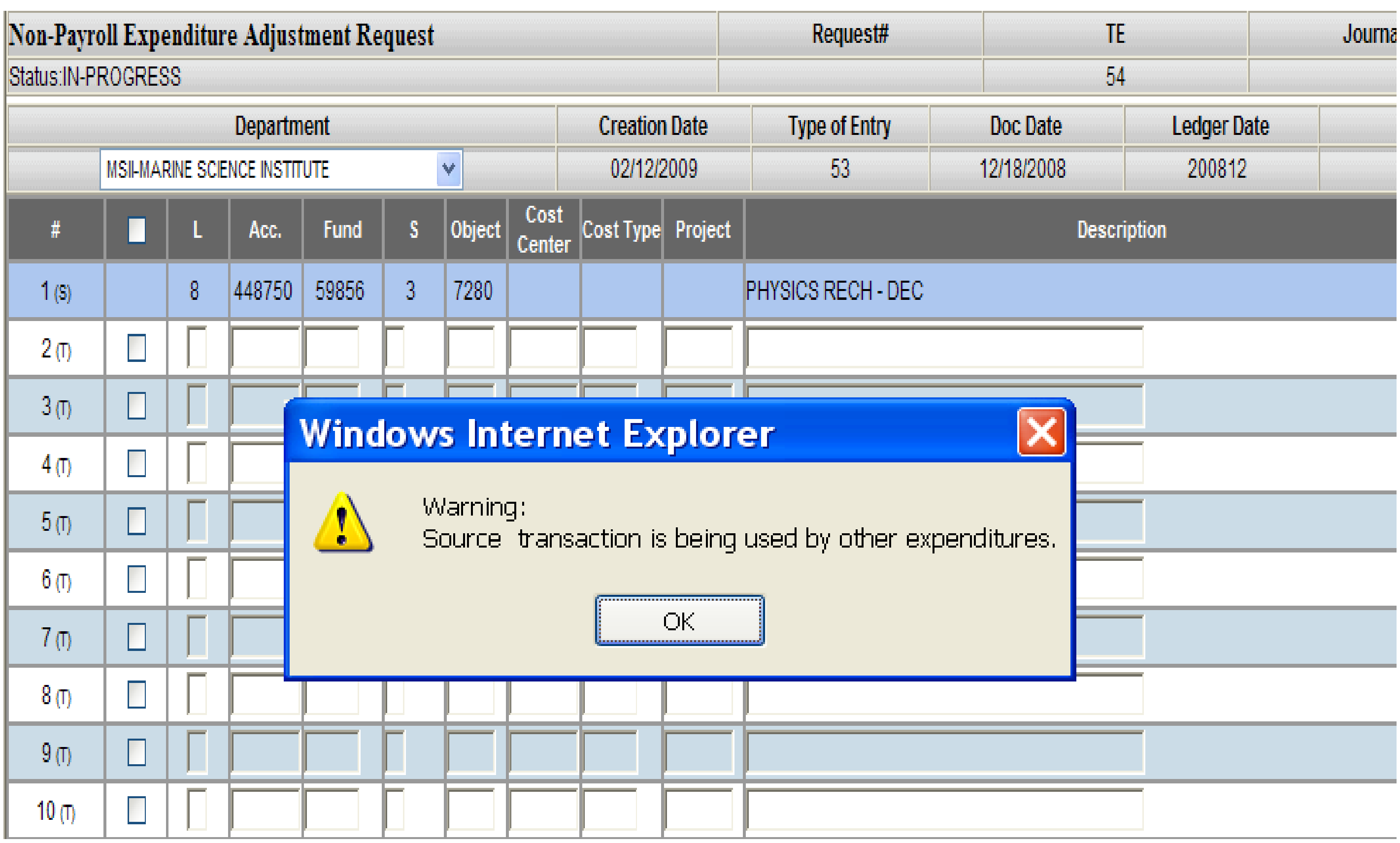


Non-Payroll Expenditure Adjustment Request	Request#
Status:UN-APPROVED - (Reviews 1 of 2)	31968

Department	Creation Date	Type of Entry	Doc Date
<< HIGH RISK >>	01/30/2009	53	12/31/2008

#	☐	L	Acc.	Fund	S	Object	Cost Center	Cost Type	Project	De
1 (S)	☐	8	444032	23233	3	7280				iQCD Poster Recharge
2 (T)	☐	8	784132	23233	3	7280			064RD	iQCD Poster Recharge

- The Warning Message below appears when the entire or partial expenditure has been previously transferred.



Non-Payroll Expenditure Adjustment Request	Request#	TE	Journa
Status:IN-PROGRESS		54	

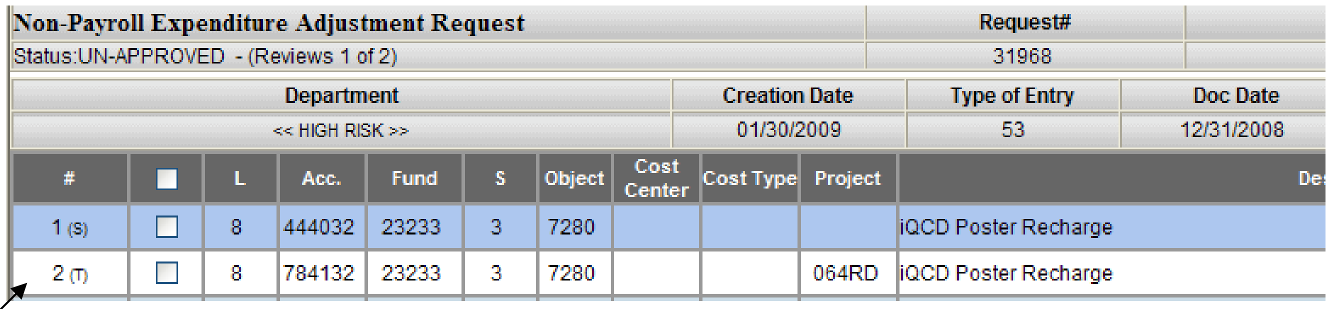
Department	Creation Date	Type of Entry	Doc Date	Ledger Date
MSI-MARINE SCIENCE INSTITUTE	02/12/2009	53	12/18/2008	200812

#	☐	L	Acc.	Fund	S	Object	Cost Center	Cost Type	Project	Description
1 (S)		8	448750	59856	3	7280				PHYSICS RECH - DEC
2 (T)	☐									
3 (T)	☐									
4 (T)	☐									
5 (T)	☐									
6 (T)	☐									
7 (T)	☐									
8 (T)	☐									
9 (T)	☐									
10 (T)	☐									

B. Target Transaction

Target Transaction

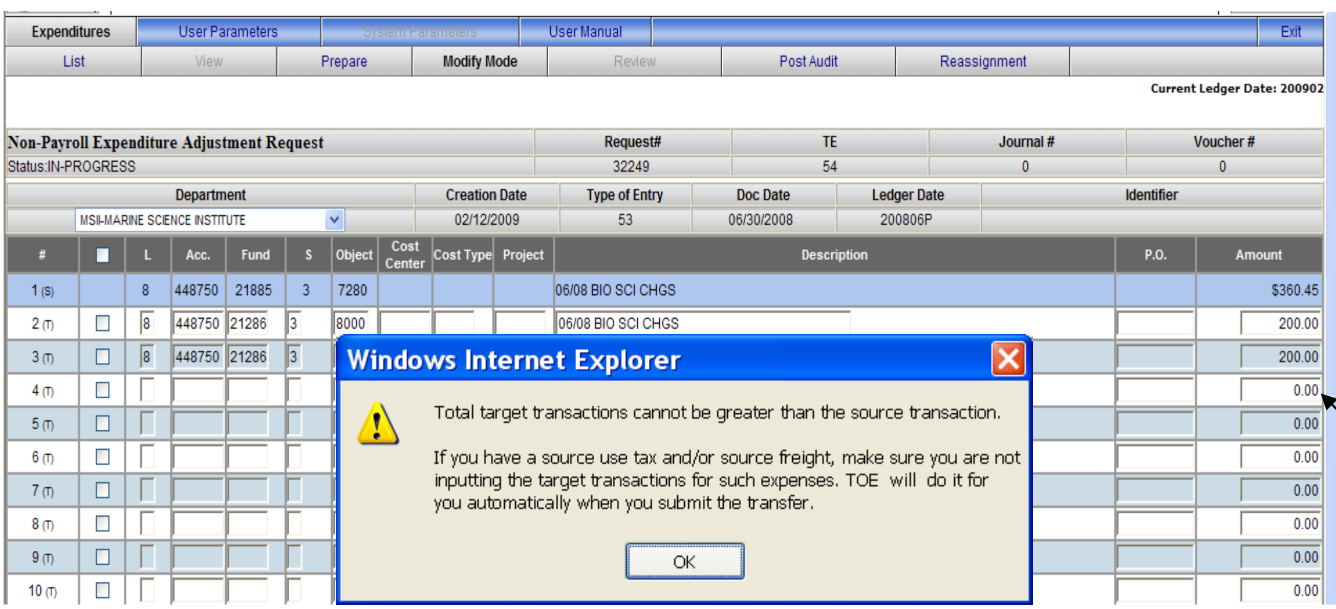
- The target transaction is located in the first column of the second row indicated by a (T) on the right of the row number.



Non-Payroll Expenditure Adjustment Request									Request#
Status:UN-APPROVED - (Reviews 1 of 2)									31968
Department						Creation Date		Type of Entry	Doc Date
<< HIGH RISK >>						01/30/2009		53	12/31/2008
#	☐	L	Acc.	Fund	S	Object	Cost Center	Cost Type	Project	De
1 (S)	☐	8	444032	23233	3	7280				iQCD Poster Recharge
2 (T)	☐	8	784132	23233	3	7280			064RD	iQCD Poster Recharge

- A target transaction is the account and fund number where the source transaction is being transferred.

- There can be multiple target transactions.



- The target transaction cannot be larger than the source transaction.

- The target transaction must have the same sign (debit or credit) as the source transaction.
    - Credit transfers moved to a target source must enter a credit amount on the target line.

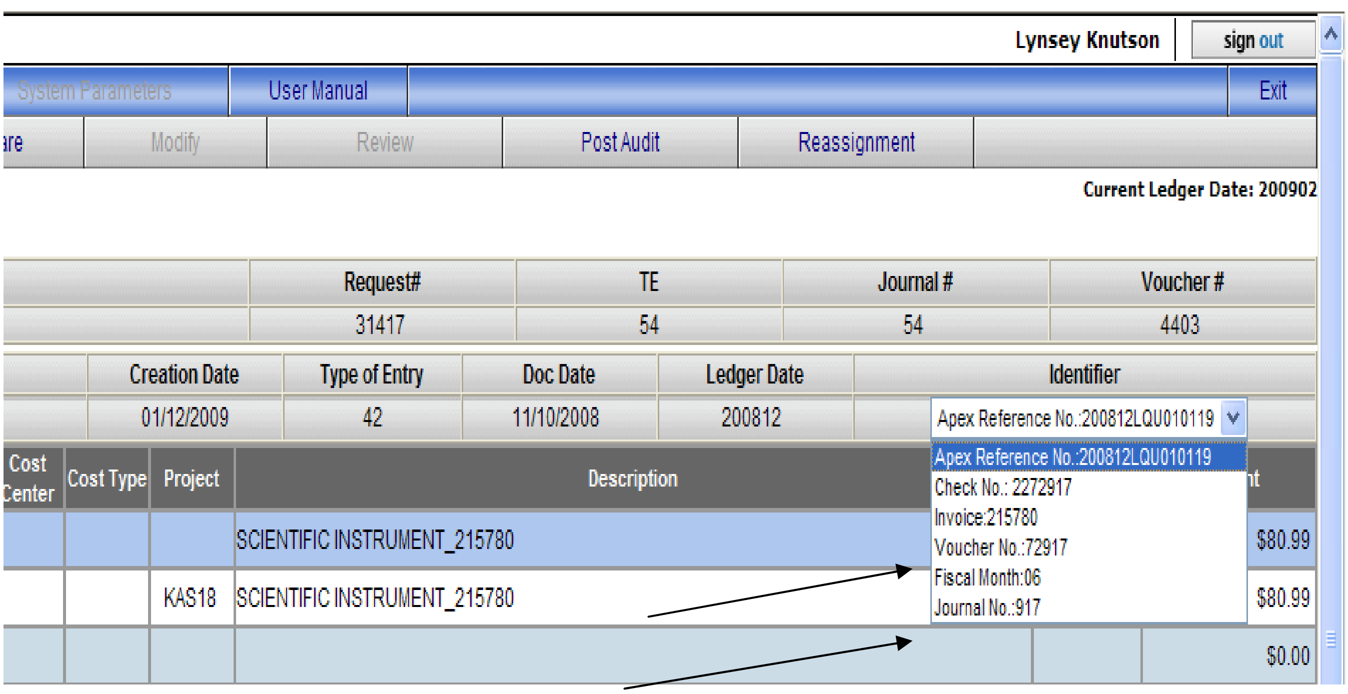
C. Journal & Voucher Numbers

Journal Numbers

- Journals numbers are assigned monthly by one (1-999) to each transaction submitted to be processed. The starting value will be one and it will automatically wrap back to one when the current number reaches 999. It begins with 1 at the start of a new ledger cycle.
- In a transfer a drop down list under the “Identifier” indicates the journal number for the source transaction being transferred.
- Journal numbers are assigned to the expenditure when the reviewers approve it.

Voucher Numbers

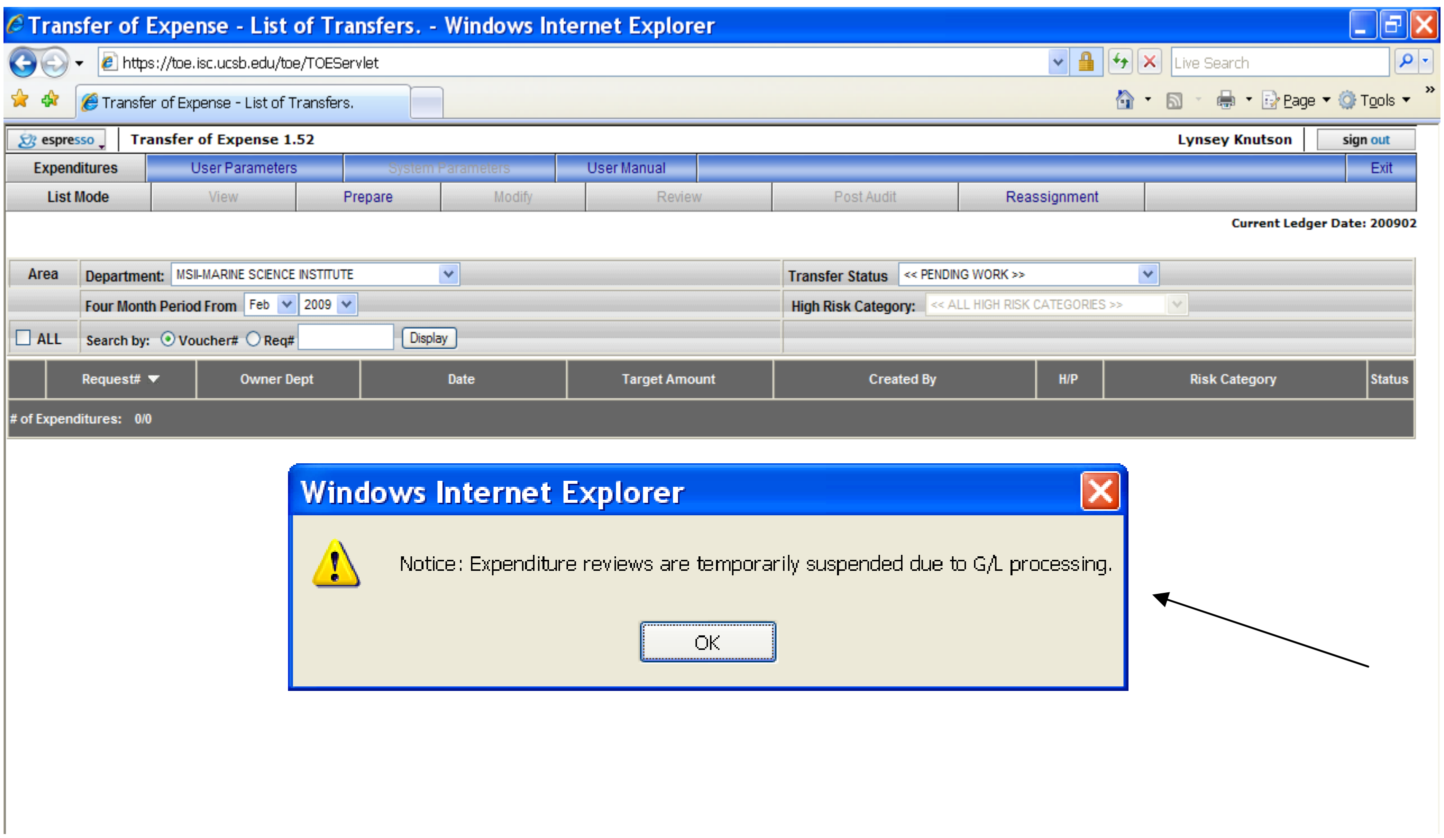
- Voucher numbers are assigned on an annual basis by one (1-99999) to each transaction submitted to be processed. The starting value will be one and it will automatically wrap back to one when the current number reaches 99999. It begins with 1 at the start of each fiscal year.
- The Voucher number is a search field for the source transaction.
- In a transfer a drop down list under the “Identifier” indicates the voucher number for the source transaction being transferred.
- Voucher numbers are assigned to the expenditure when the reviewers approve it.



D. Month End & Year End Close

Month End Close

- During a month end close cycle, the TOE System will not allow a department to “Save & Submit” transactions.
- A message will appear indicating that transactions are temporarily stopped.
- The last day of the month is the deadline for submitting and reviewing transfers to be posted to the next ledger cycle.
- The Preparer can “Save” the transfers and submit them once the month end ledger cycle is completed.

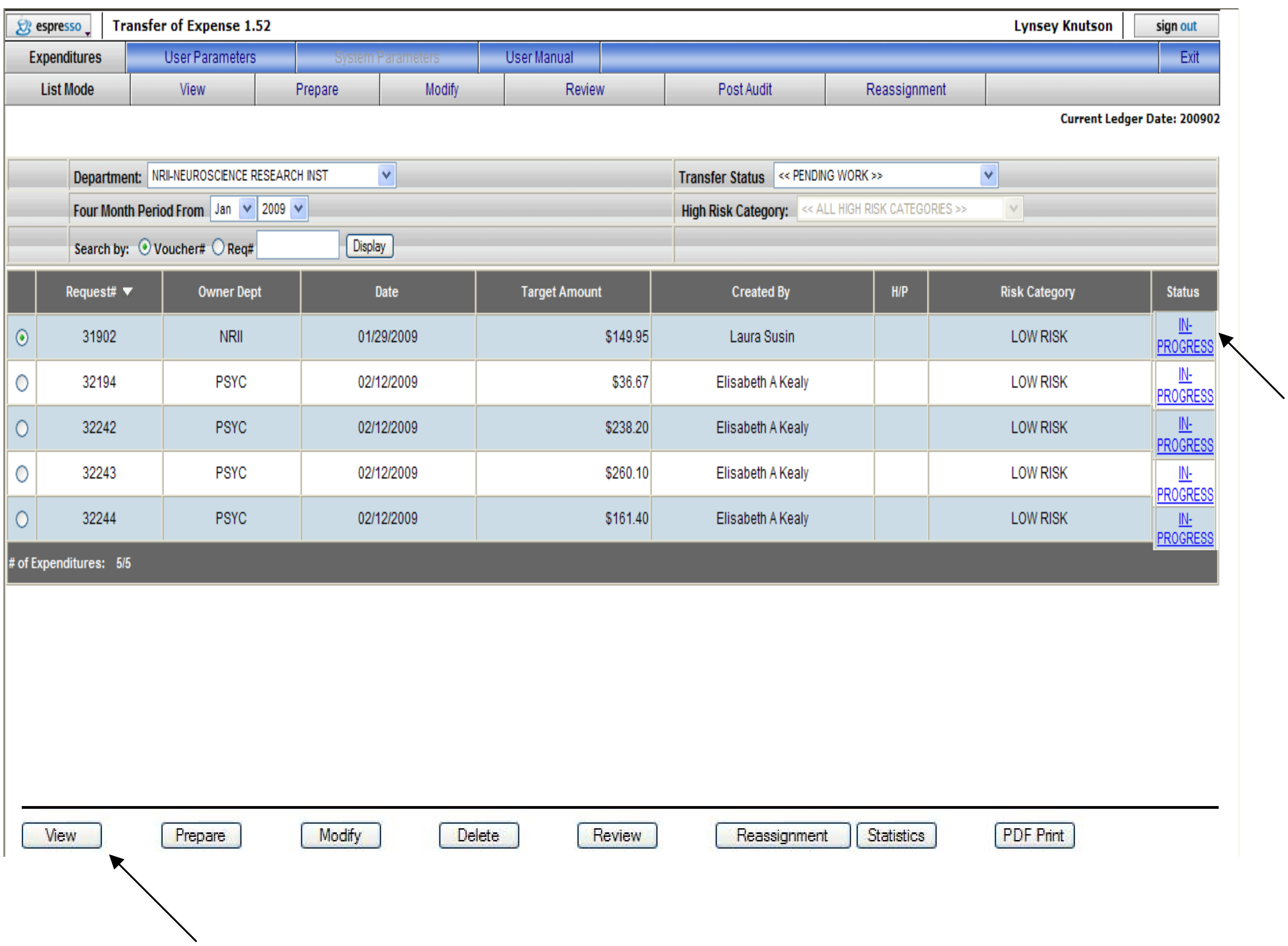


Year End Close

- When the fiscal year close is in process, Ledger dates ending in “I”, “W”, or “F” will disable the Level I reviewer from being able to review transfers during this period.
- The Preparer can “Save” the transfers and submit them once the year end ledger cycle is completed.

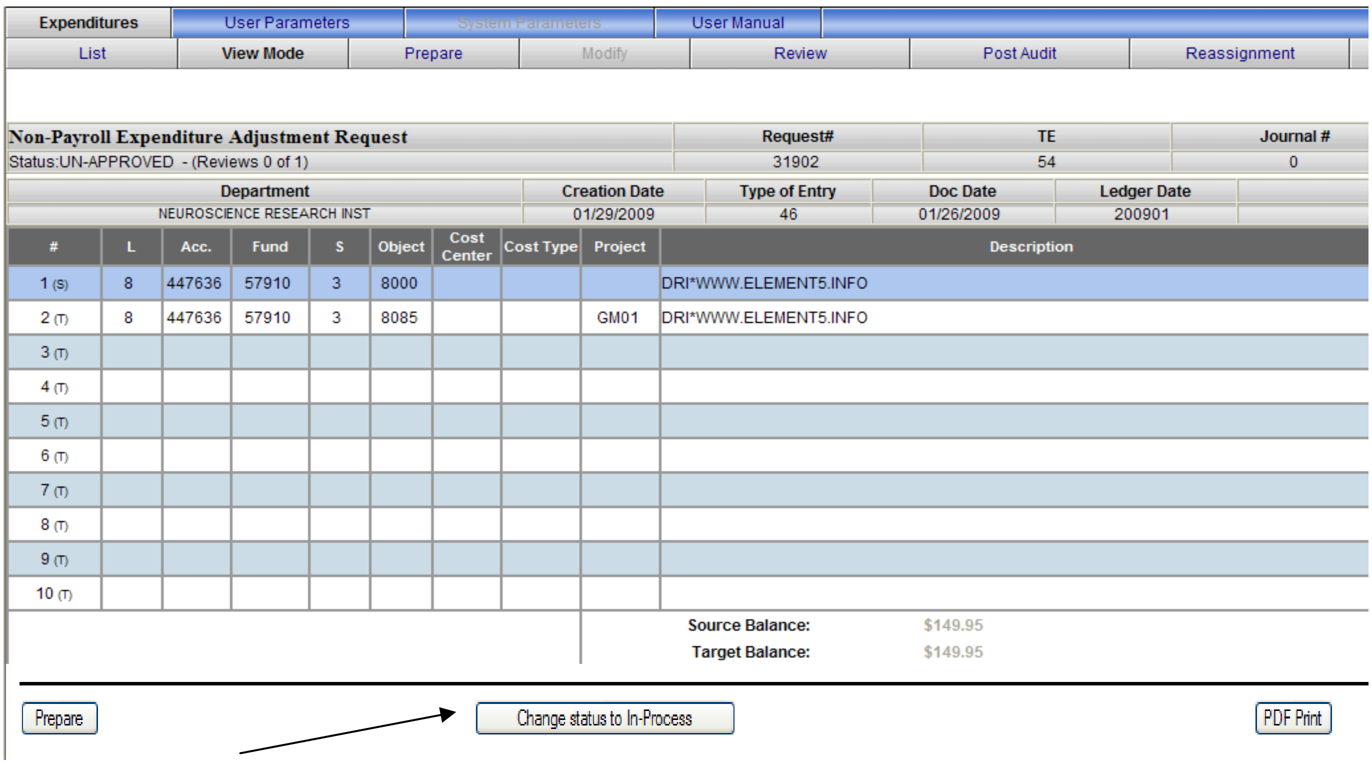
E. Change Status In-Process

- Transfers can be modified by Preparers as long as it has not been approved.
  - This applies only to transfers in the In-Process status.
  - An email box will pop up addressed to the preparer and reviewers where an explanation can be indicated why the transfer is being returned.
- The Reviewer I, Reviewer II, and Reviewer III can change the transfer status to In-Process (return it to preparer) if additional explanation is required or the Preparer requests for the transfer to be returned.
- Change status to In-Progress:
  - Select the In-Progress transfer
  - Press the “View” button.

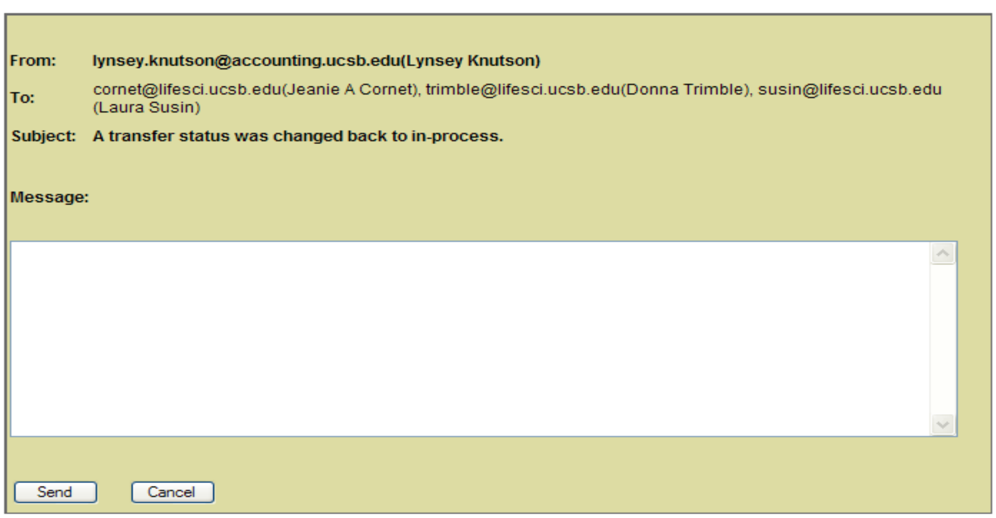


E. Change Status In-Process (continued)

- The “Change status to In-Process” button is located on the bottom of the screen.
- This button will allow the Preparer to reject the transfer or modify the explanation

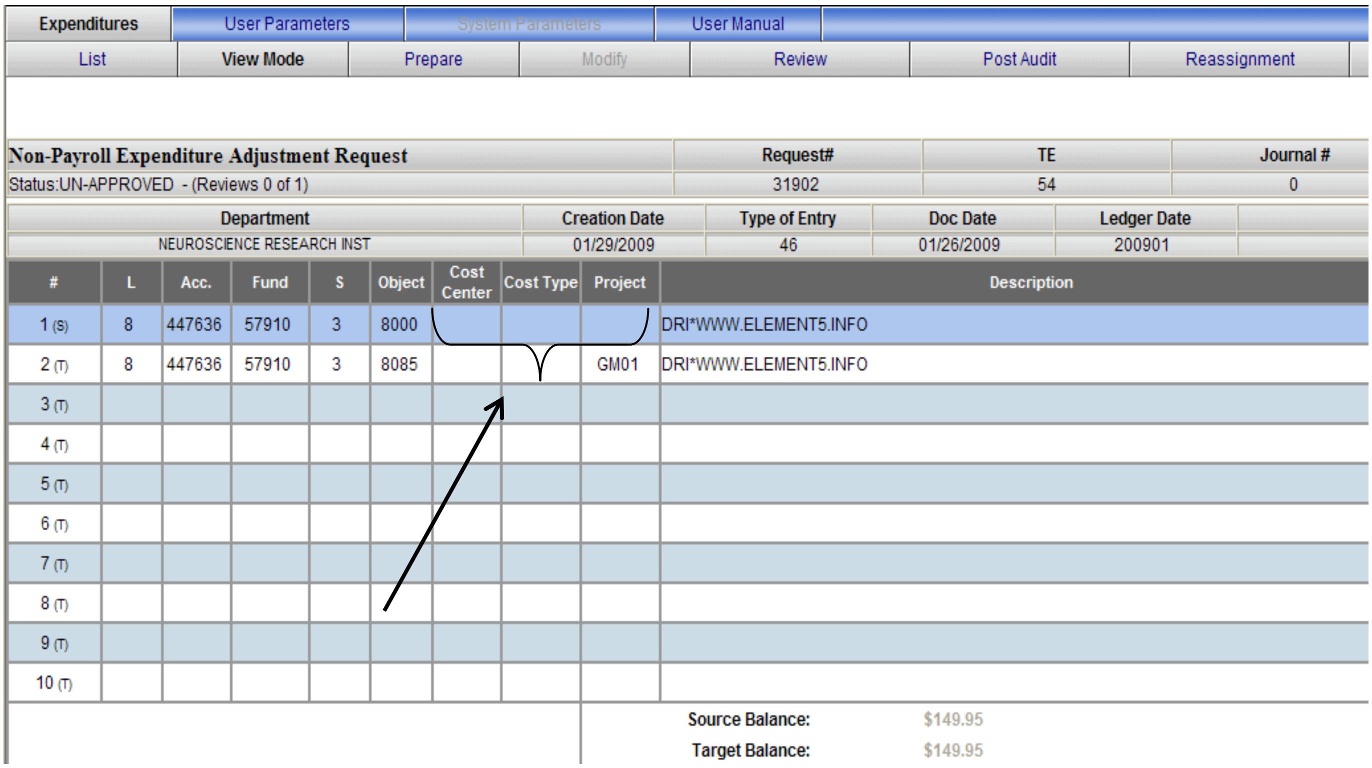


- An explanation can be sent with the email detailing why the status is being changed.



F. Department Codes

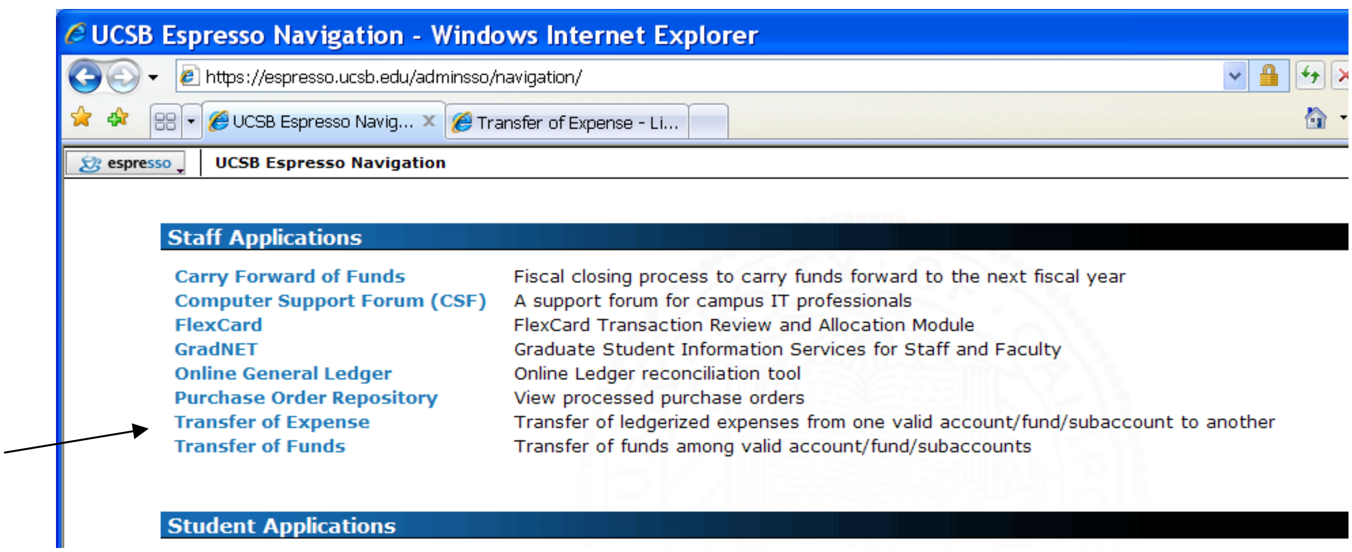
- The department codes, Cost Center, Cost Type, and Project are available for department input.



#	L	Acc.	Fund	S	Object	Cost Center	Cost Type	Project	Description
1 (S)	8	447636	57910	3	8000				DRI*WWW.ELEMENT5.INFO
2 (T)	8	447636	57910	3	8085			GM01	DRI*WWW.ELEMENT5.INFO
3 (T)									
4 (T)									
5 (T)									
6 (T)									
7 (T)									
8 (T)									
9 (T)									
10 (T)									

A. Login & Initial Screen Information

WEB ADDRESS TO ESPRESSO: https://uwa1.isc.ucsb.edu/loginas.html



WEB ADDRESS TO TOE: http://toe.isc.ucsb.edu/toe/TOEServlet

Note: the User Guide contains copies of the TOE system produced from the test version of the system. Use the Web address listed above to access the system in production.

Log in requires LDAP user ID and password and to be registered in the UCSB Directory. To establish a user name and password go to the Information Systems and Computing department.

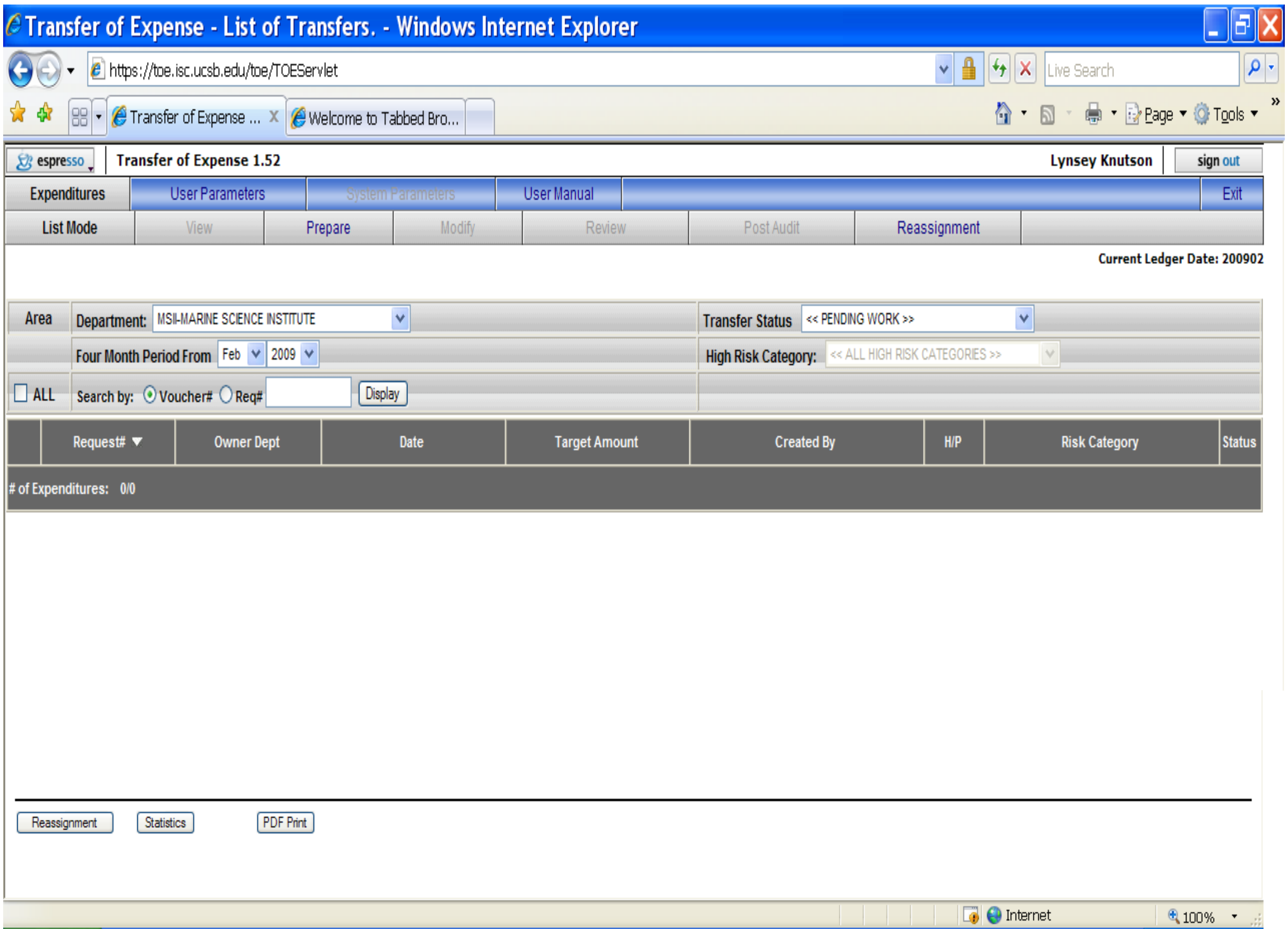
Web address to the UCSB Directory: http://directory.ucsb.edu/

Then the Department Security Administrator (DSA) needs to assign a security group as a Preparer or a Reviewer.

A. Login & Initial Screen Information (continued)

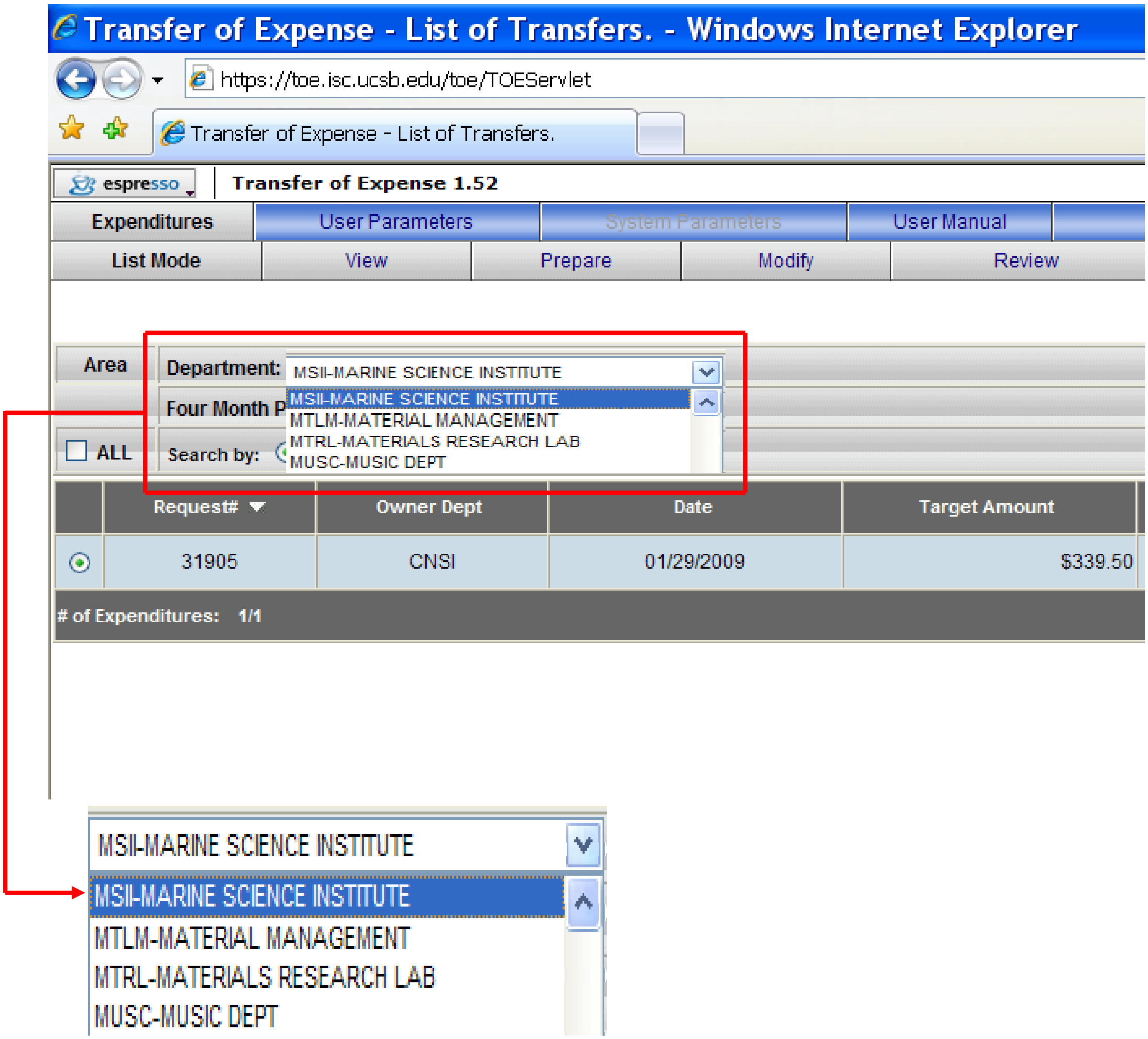
Initial Screen

- This screen will appear on your computer once you login to the application.



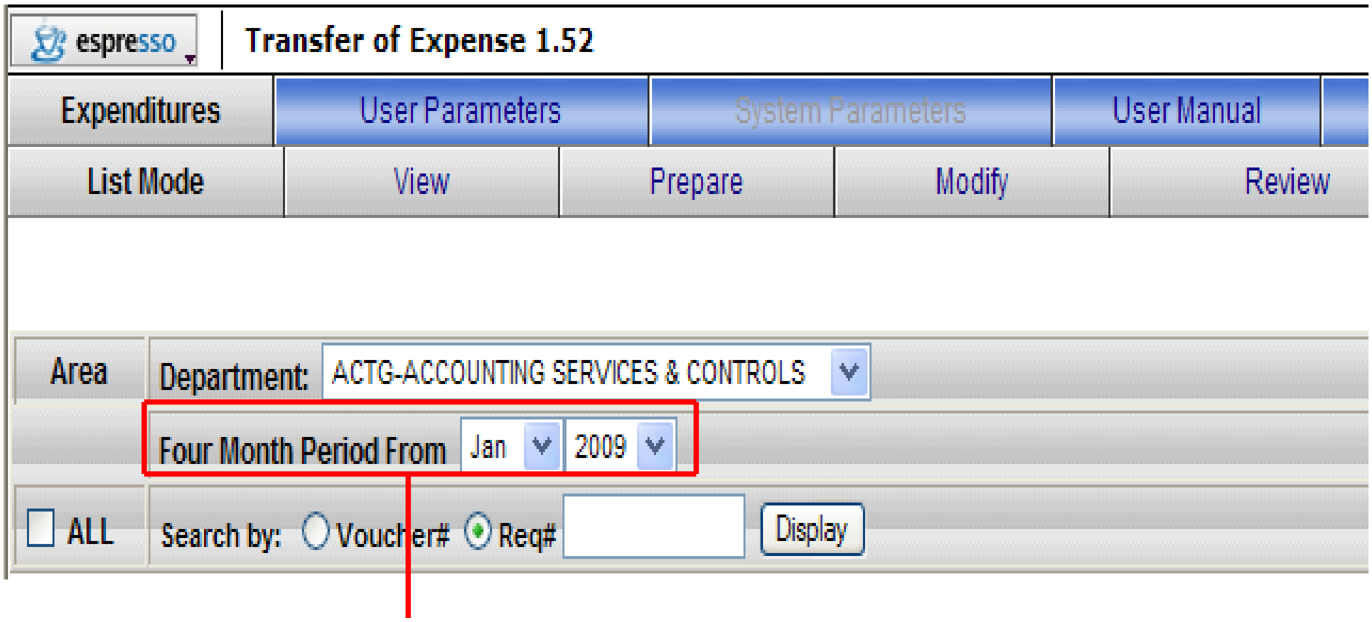
A. Login & Initial Screen Information (continued)

- List of departments you are authorized to access to prepare source transactions or review target transactions.

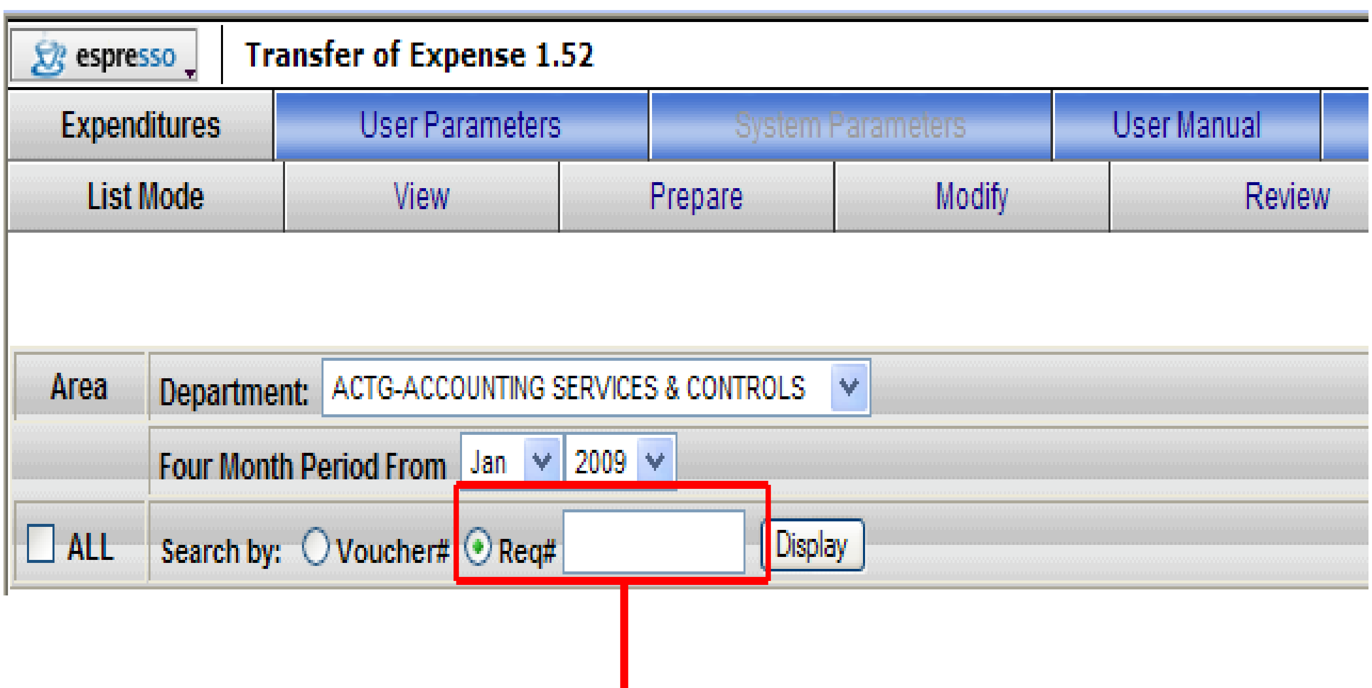


A. Login & Initial Screen Information (continued)

- The initial filter will default to the current ledger month and three-months forward.
- It is used to narrow the search for source transactions.

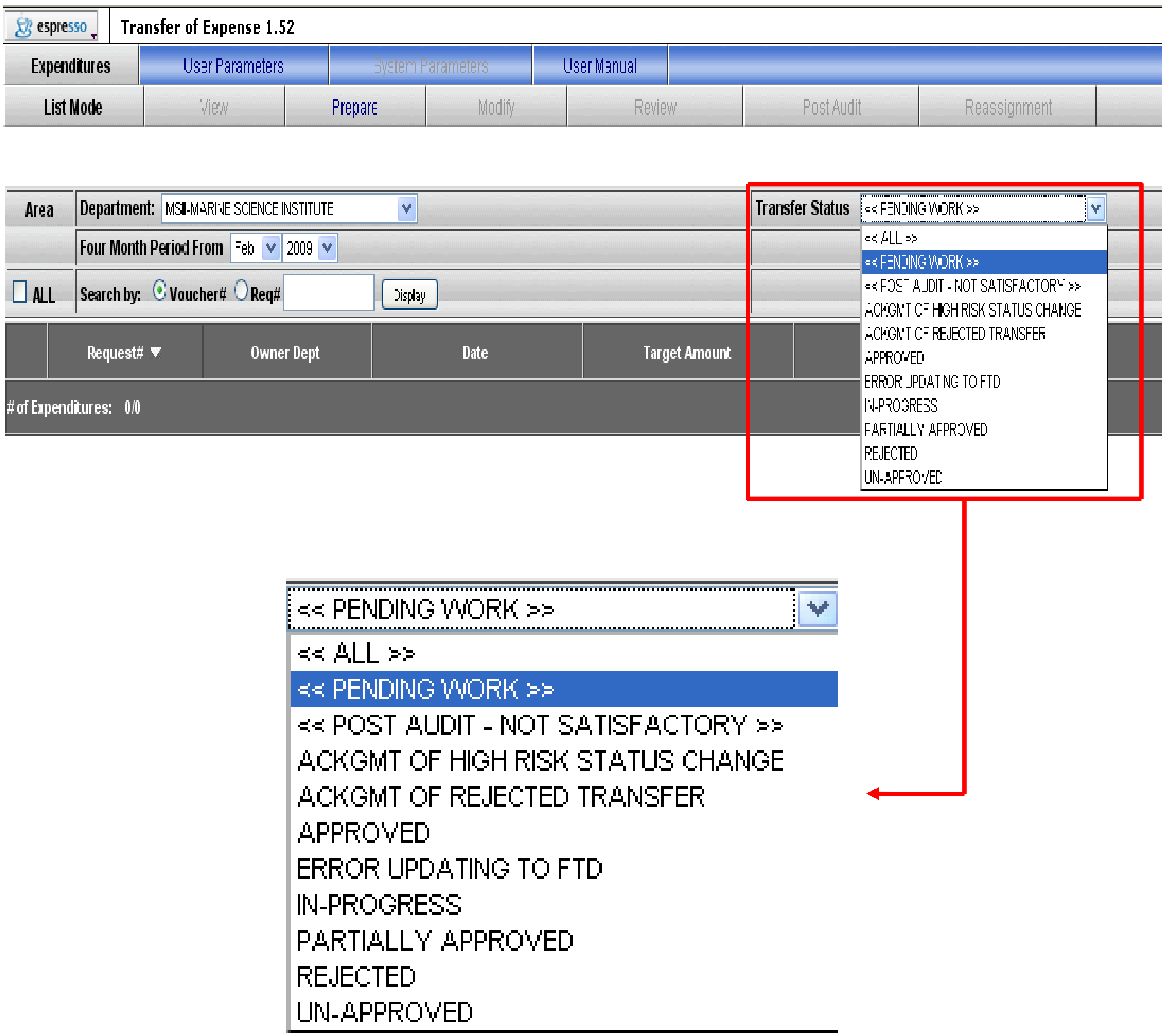


- A Request number is assigned by the TOE system to each transaction that has been submitted for process by the Preparer to trace a transfer.
- Entering the unique request number above will bring up an immediate search for the specific transfer.



A. Login & Initial Screen Information (continued)

- The Transfer Status pull-down bar defaults to Pending Work.
- A list of descriptions is provided on the following pages.



A. Login & Initial Screen Information (continued)

Transfer Status Descriptions:

- Acknowledgment of High-Risk Status Change
  - This occurs when a transfer is converted to high-risk after it was submitted as low-risk. A possible reason for this is that the lag-time between the time the transfer was created and approved caused the transaction to become high-risk.
  - Transfers with a status changed to high-risk needs to be acknowledged by the original Preparer.
- Acknowledgment of Rejected Transfer
  - The Preparer must acknowledge rejected, partially approved or high-risk status change transfers.
- All
  - All transfers regardless of status.
- Approved
  - If the transfer detail is correct and the questions are answered sufficiently, then the transfer status will be changed to approved and submitted directly to the FTD.
  - No and Low-risk transfers must be reviewed by the Preparer and Reviewer I. If the transfer is interdepartmental, it must be reviewed by each department's Reviewer I.
  - If the transfer is high-risk, then a Reviewer III from Accounting must review the transaction
- Error updating a transaction to FTD
  - This message appears when transfers failed to update to the General Ledger.
- In-Progress
  - When a transfer is saved using the save button, the transfer is In Progress, but not submitted for review.
  - An In-Progress transfer may be modified or deleted by the Preparer.
  - A transfer in-progress has been saved but not submitted for review and approved. The Preparer will need to "Save & Submit" or "Delete" the transfer.
- Partially Approved
  - Partially approved transfers are transfers where one or more target transactions are rejected.
  - Rejected transactions will not be sent to the FTD. A message will be sent back to the Preparer and Reviewer. The Preparer must submit another form for the rejected transactions.

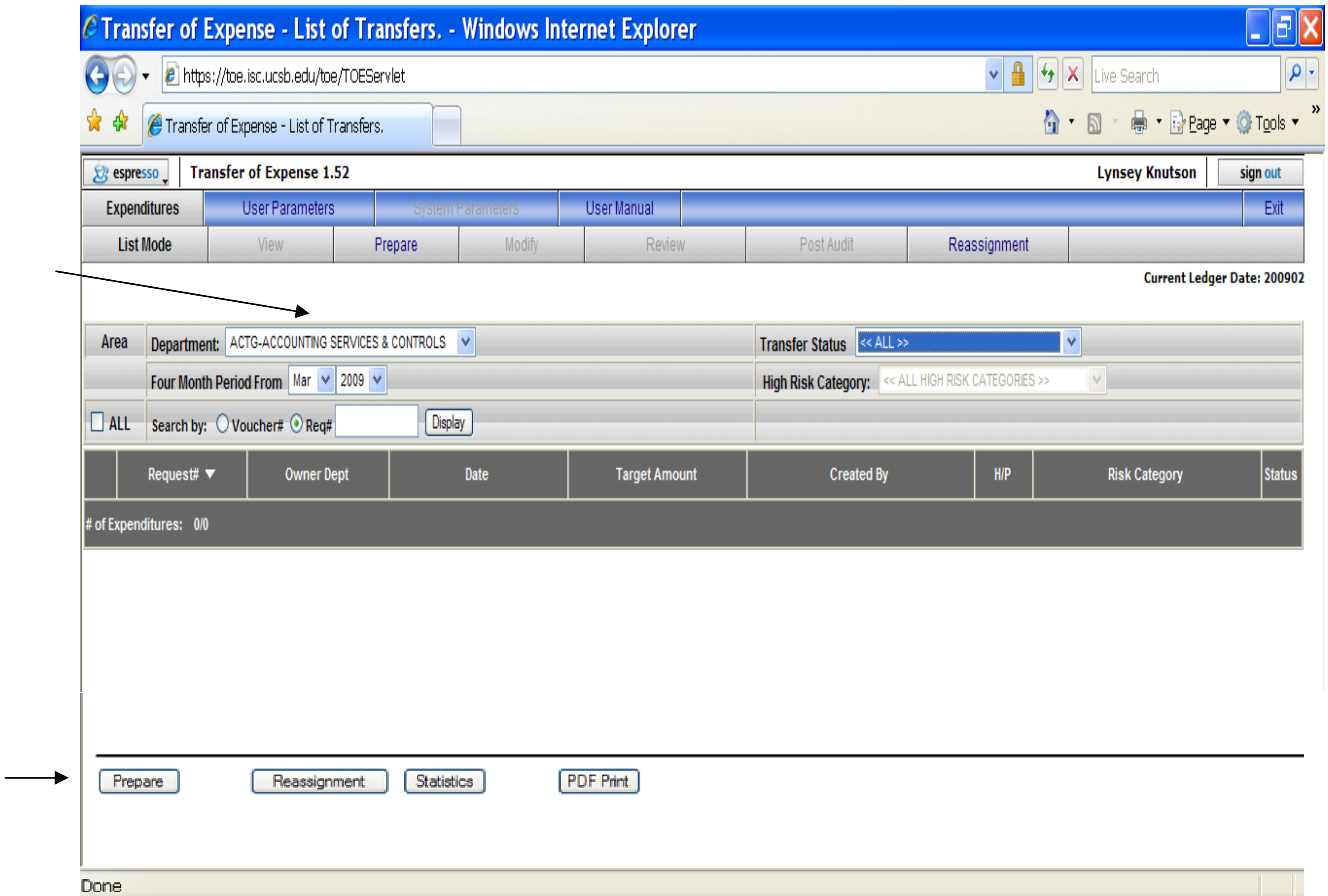
A. Login & Initial Screen Information (continued)

- Partially approved cont…
  - Whenever a transaction is rejected, the Preparer must acknowledge that some or all of their transactions are rejected. Upon rejecting a transaction, all the preparers in the preparer group will receive an email message indicating this fact; however, the approved target transactions will be updated to the FTD immediately. The Preparer will then need to acknowledge each transaction that was rejected on the creation screen.
  - When a Reviewer rejects a transaction, an email message will be sent to the Preparer of the transfer. The Preparer must acknowledge the event by pressing the Acknowledge Rejected Transaction button located in the 'view' mode.
- Pending Approval Transfers
  - A Reviewer I will normally see this status when your department has approved the transaction, but other departments have not yet approved the transfer. A transfer has the status of Pending Approval when it has not been completely reviewed by all the departments.
- Pending Work
  - Includes In-Progress, Unapproved, Acknowledgement of Rejected, Acknowledgement of High Risk, and Error Updating FTD.
- Rejected
  - A transfer is considered rejected when all or a partial transaction has been rejected and then the following will occur:
    - The user must acknowledge the rejected transaction by pressing the Acknowledge Rejected Transaction button which is located in the "view" mode.
    - Once acknowledged the transaction of the source transaction will be set to "R" for Rejected.
      - Note: A new transfer must be submitted to satisfy the Reviewer.
- Un-approved
  - A transfer that has not been approved by all the reviewers. When a transfer is saved using the Save and Submit button, the transfer is set to un-approved status and it is then submitted for review. An un-approved transfer may no longer be modified.
  - Multiple departmental transfers will appear as pending approval within the department if it has been approved within the department. It will appear as un-approved by departments that can view the transfer if it has not been approved by the other department(s).

B. No/Low Risk Transaction

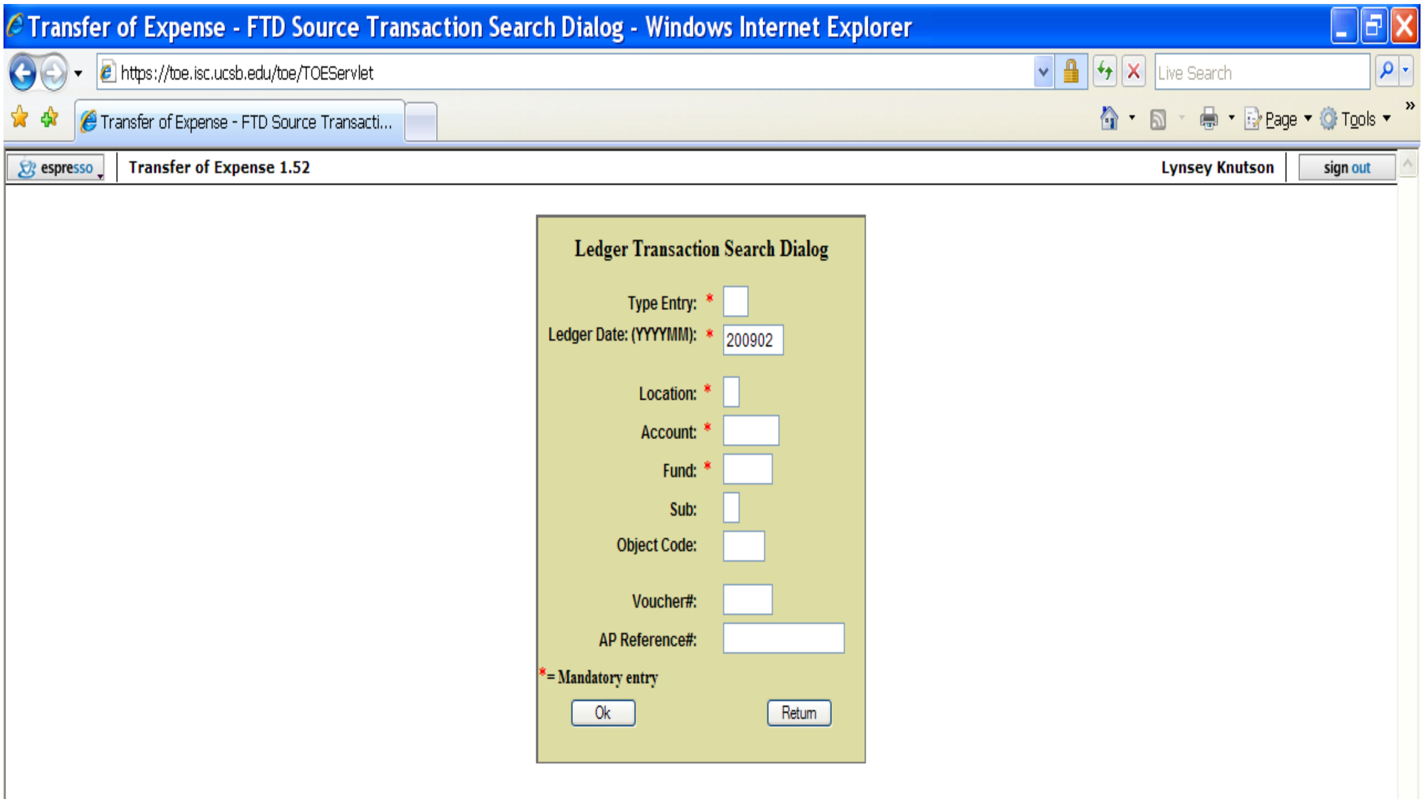
How to Prepare a No/Low Risk Transaction:

- Preparer selects the department that has the source transaction to be transferred.
- Press Prepare button.



B. No/Low Risk Transaction

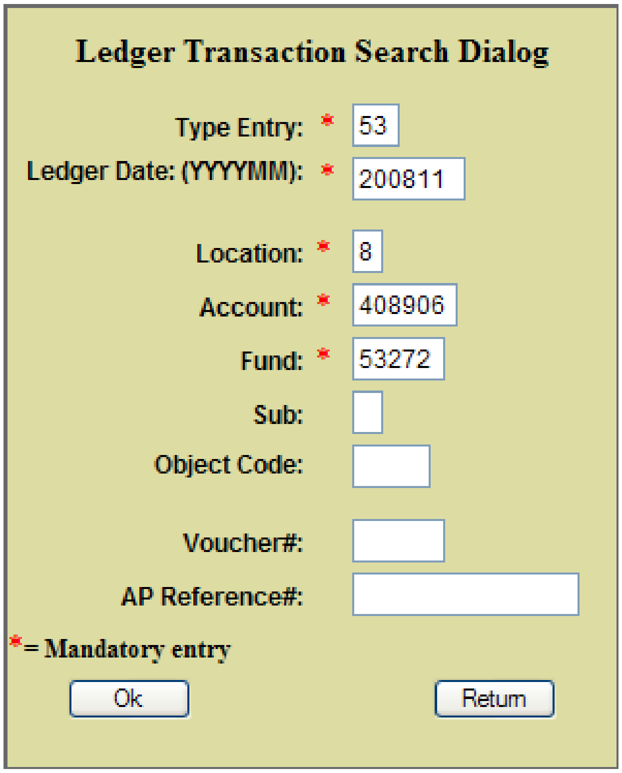
How to Prepare a No/Low Risk Transaction (continued):



- This screen appears after the Prepare button is chosen. This screen is used to select a source transaction.

B. No/Low Risk Transaction

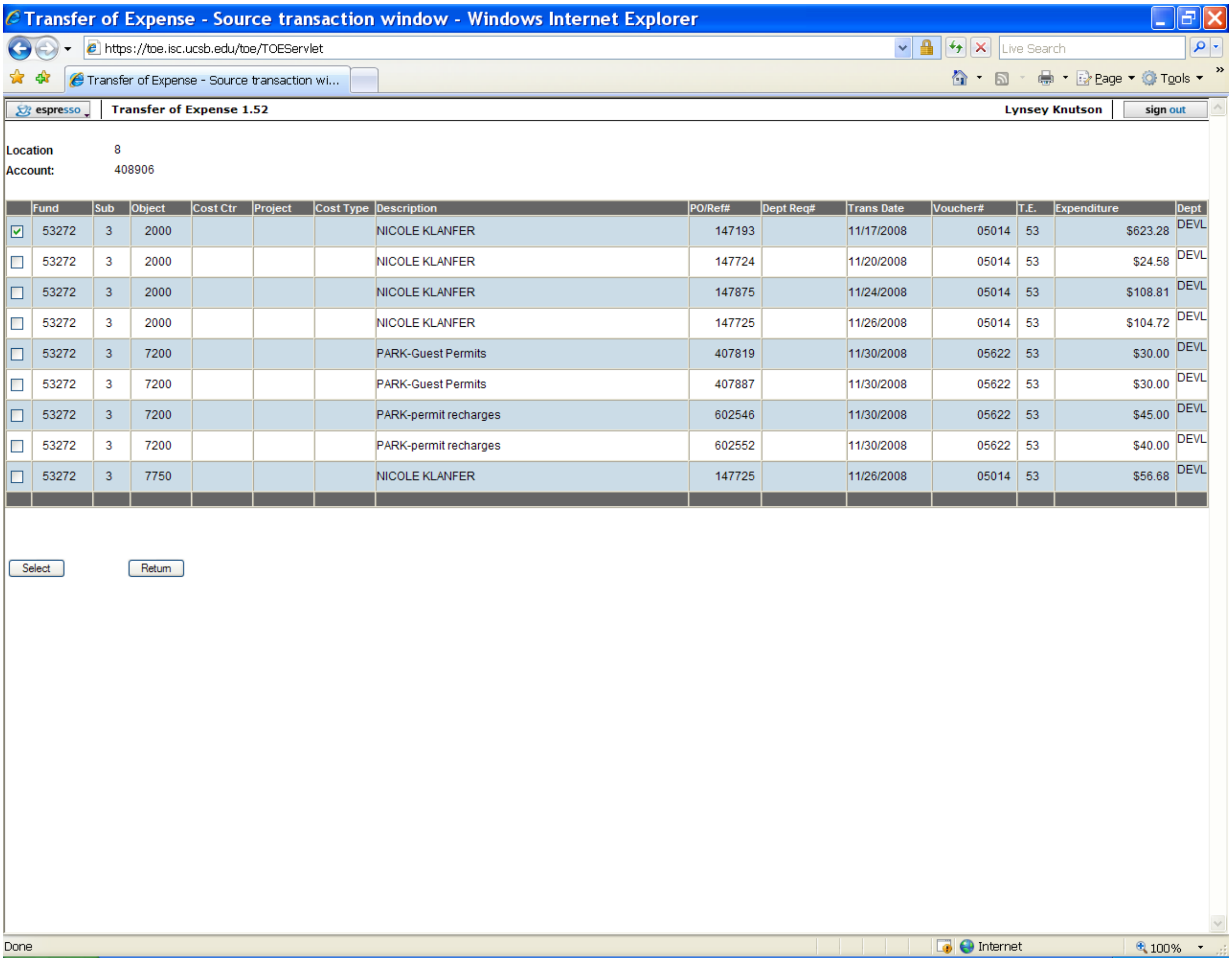
How to Prepare a No/Low Risk Transaction (continued):



- Preparer enters general ledger data to select the source transaction.
- Mandatory entries are marked and must be completed.
- This screen is a General ledger listing of source transactions that meet the search criteria.
- Press Ok button.

B. No/Low Risk Transaction

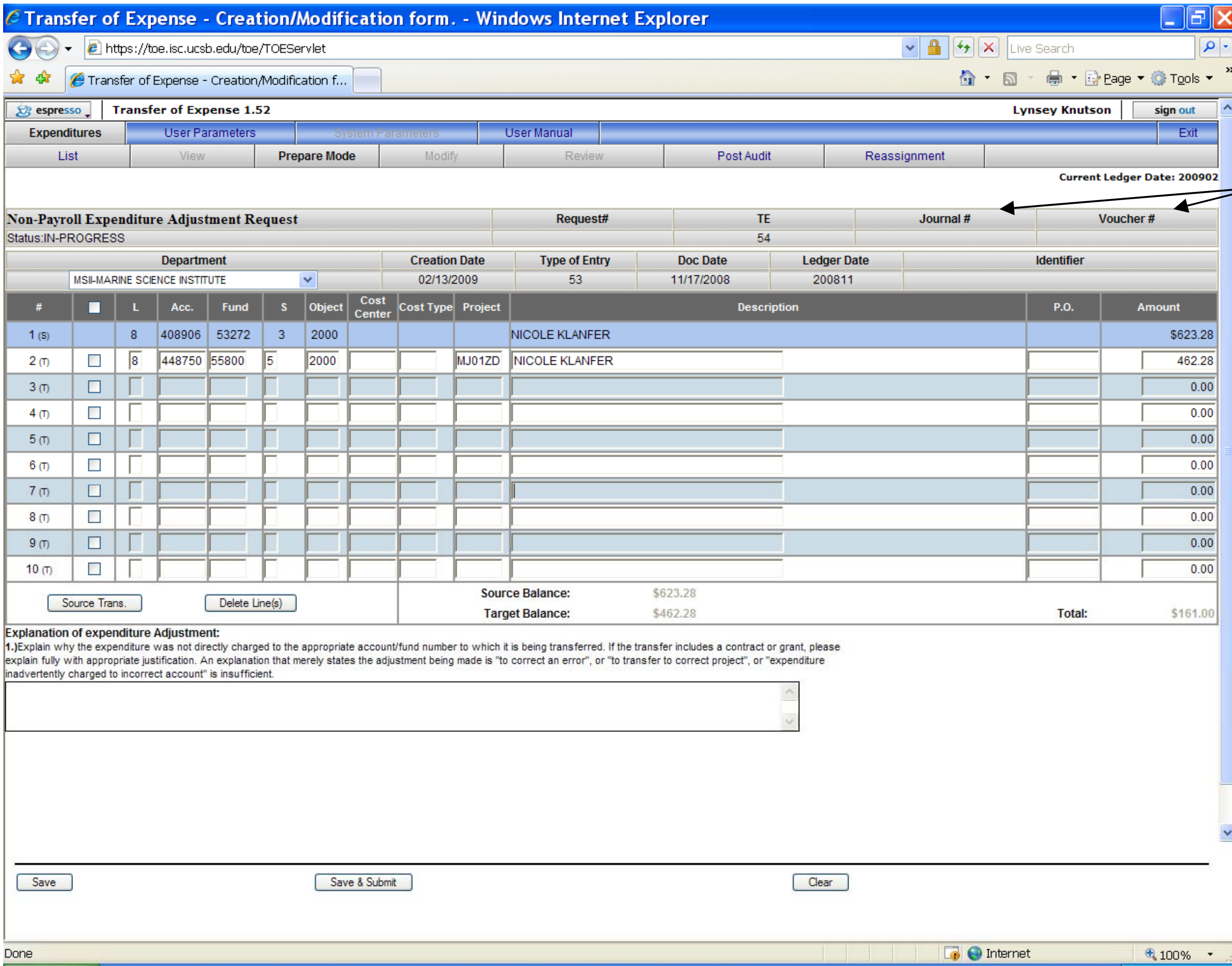
How to Prepare a No/Low Risk Transaction (continued):



- Select the expense to be transferred
- Click on the “Select” button to select the source transaction from the list provided from the search.

B. No/Low Risk Transaction

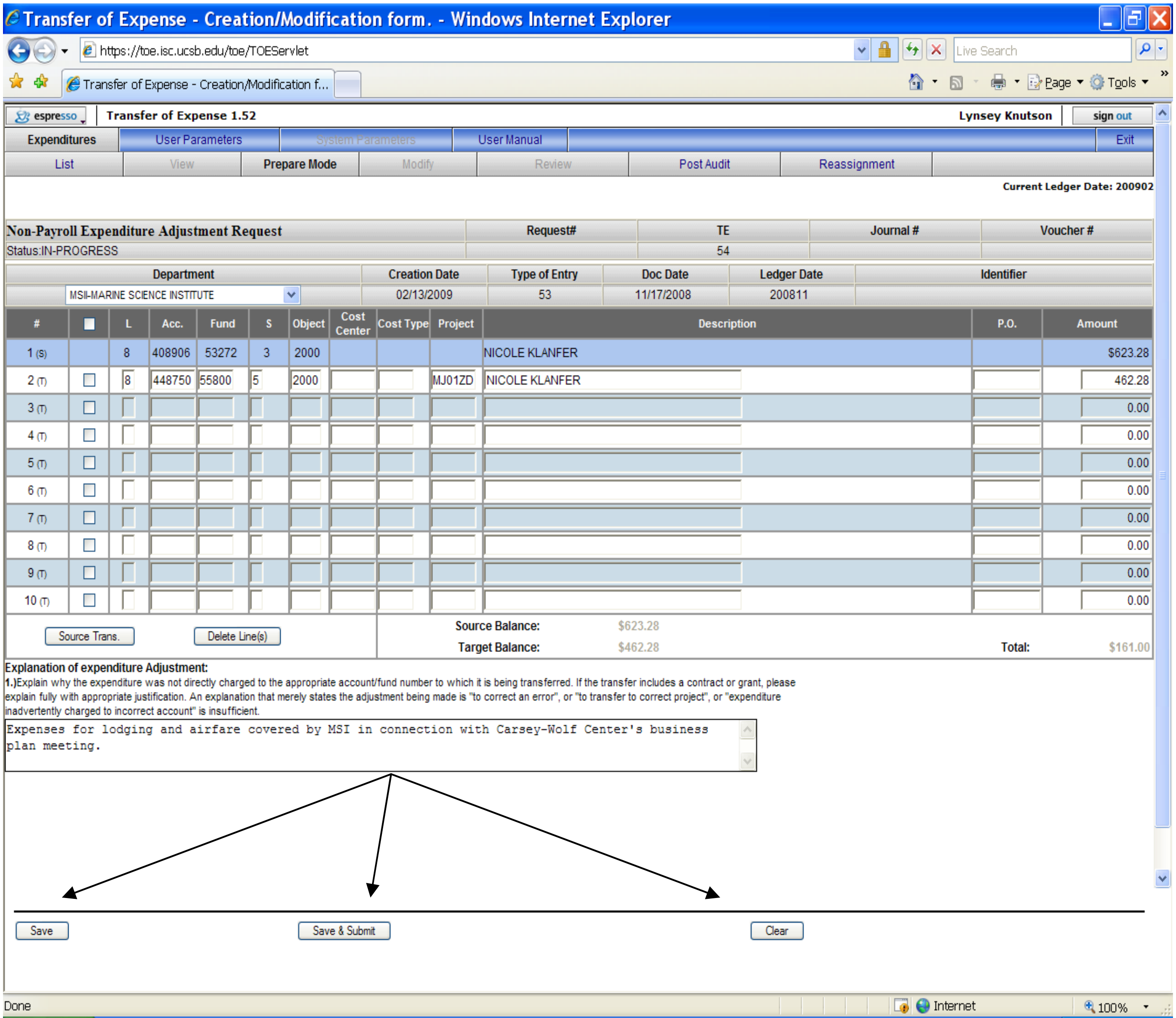
How to Prepare a No/Low Risk Transaction (continued):



- The transfer of expense journal screen contains the selected source transaction. The Preparer now inputs the target transaction(s) to which the source transaction is to be moved on lines 2 to 10. A transaction has a maximum of 10 lines.
- This screen also contains a Source Transaction button that allows the Preparer to return to the general ledger search screen.
- Voucher #: It represents an incremental number (1-99999) assigned to each transaction done at the start of each fiscal year.
- Journal #: It represents an incremental number (1-999) assigned to each transaction done at the start of each general ledger cycle.

B. No/Low Risk Transaction

How to Prepare a No/Low Risk Transaction (continued):


Transfer of Expense - Creation/Modification form. - Windows Internet Explorer
https://toe.isc.ucsb.edu/toe/TOEServlet
Transfer of Expense - Creation/Modification f...

espresso | Transfer of Expense 1.52 | Lynsey Knutson | sign out

Expenditures | User Parameters | System Parameters | User Manual | Exit

List | View | Prepare Mode | Modify | Review | Post Audit | Reassignment

Current Ledger Date: 200902

Non-Payroll Expenditure Adjustment Request	Request#	TE	Journal #	Voucher #
Status:IN-PROGRESS		54		

Department	Creation Date	Type of Entry	Doc Date	Ledger Date	Identifier
MSI-MARINE SCIENCE INSTITUTE	02/13/2009	53	11/17/2008	200811	

#		L	Acc.	Fund	S	Object	Cost Center	Cost Type	Project	Description	P.O.	Amount
1 (S)		8	408906	53272	3	2000				NICOLE KLANFER		$623.28
2 (T)		8	448750	55800	5	2000			MJ01ZD	NICOLE KLANFER		462.28
3 (T)												0.00
4 (T)												0.00
5 (T)												0.00
6 (T)												0.00
7 (T)												0.00
8 (T)												0.00
9 (T)												0.00
10 (T)												0.00

Source Trans. | Delete Line(s)

Source Balance: $623.28
Target Balance: $462.28 Total: $161.00

Explanation of expenditure Adjustment:
1.)Explain why the expenditure was not directly charged to the appropriate account/fund number to which it is being transferred. If the transfer includes a contract or grant, please explain fully with appropriate justification. An explanation that merely states the adjustment being made is "to correct an error", or "to transfer to correct project", or "expenditure inadvertently charged to incorrect account" is insufficient.

Expenses for lodging and airfare covered by MSI in connection with Carsey-Wolf Center's business plan meeting.

Save | Save & Submit | Clear

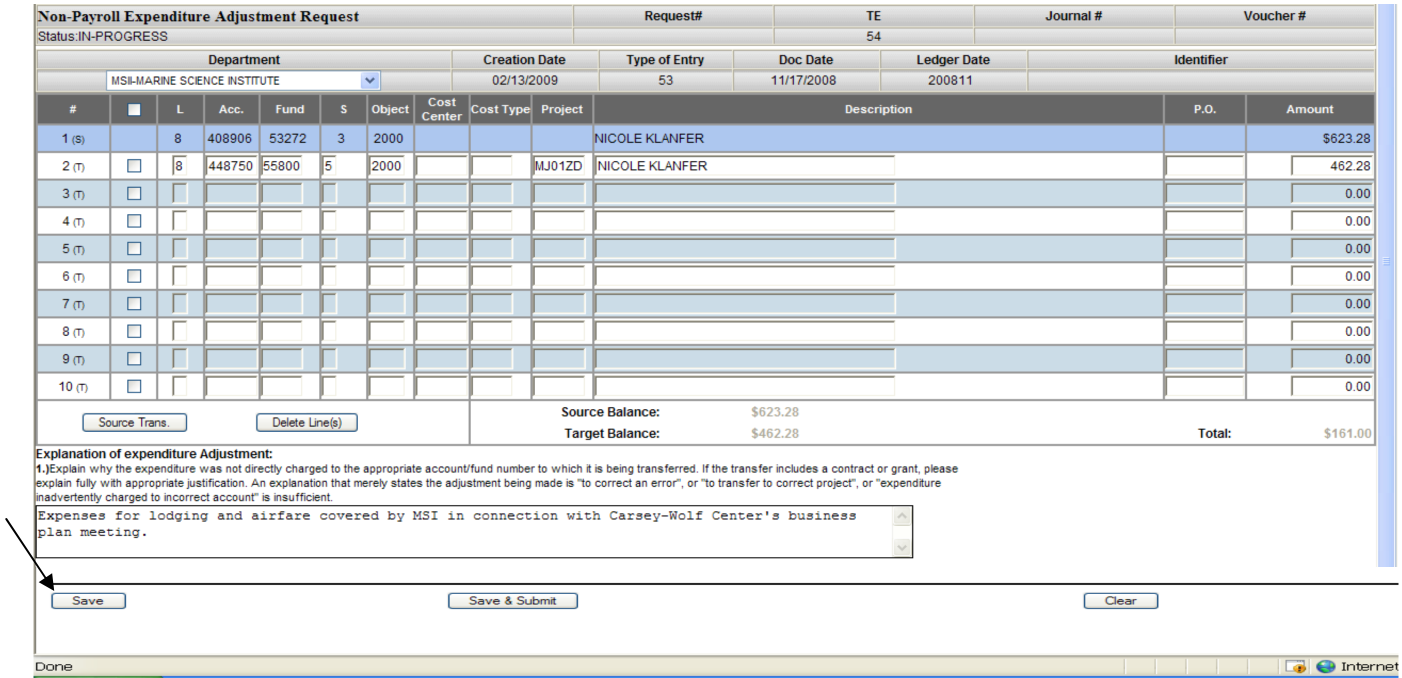
Done | Internet | 100%

- All transfers require an explanation for the expenditure adjustment.
- Transactions containing contracts, grants and cooperative agreements require a full explanation for the transfer being made.
- The Preparer can now Save, Save & Submit or Clear.
- The Clear button only clears the Target transaction(s).

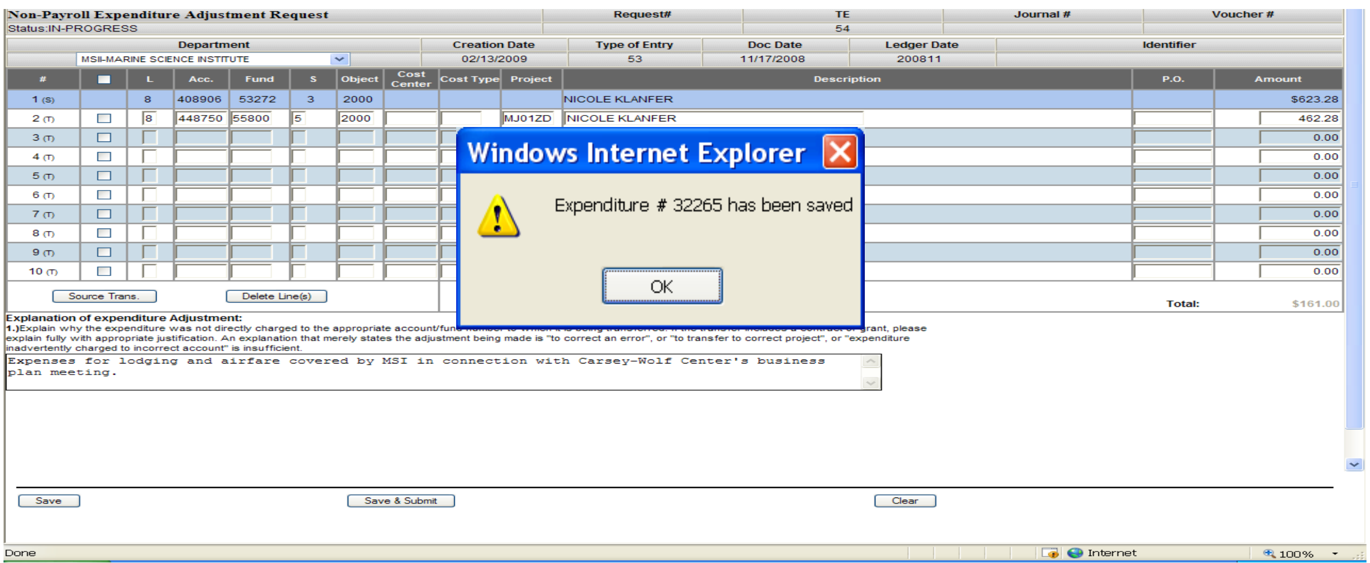
B. No/Low Risk Transaction

How to Prepare a No/Low Risk Transaction (continued):

- Save Feature:
  - The save feature holds the transfer in the ‘in-progress’ status allowing for future View, Modify, Delete or Save & Submit.



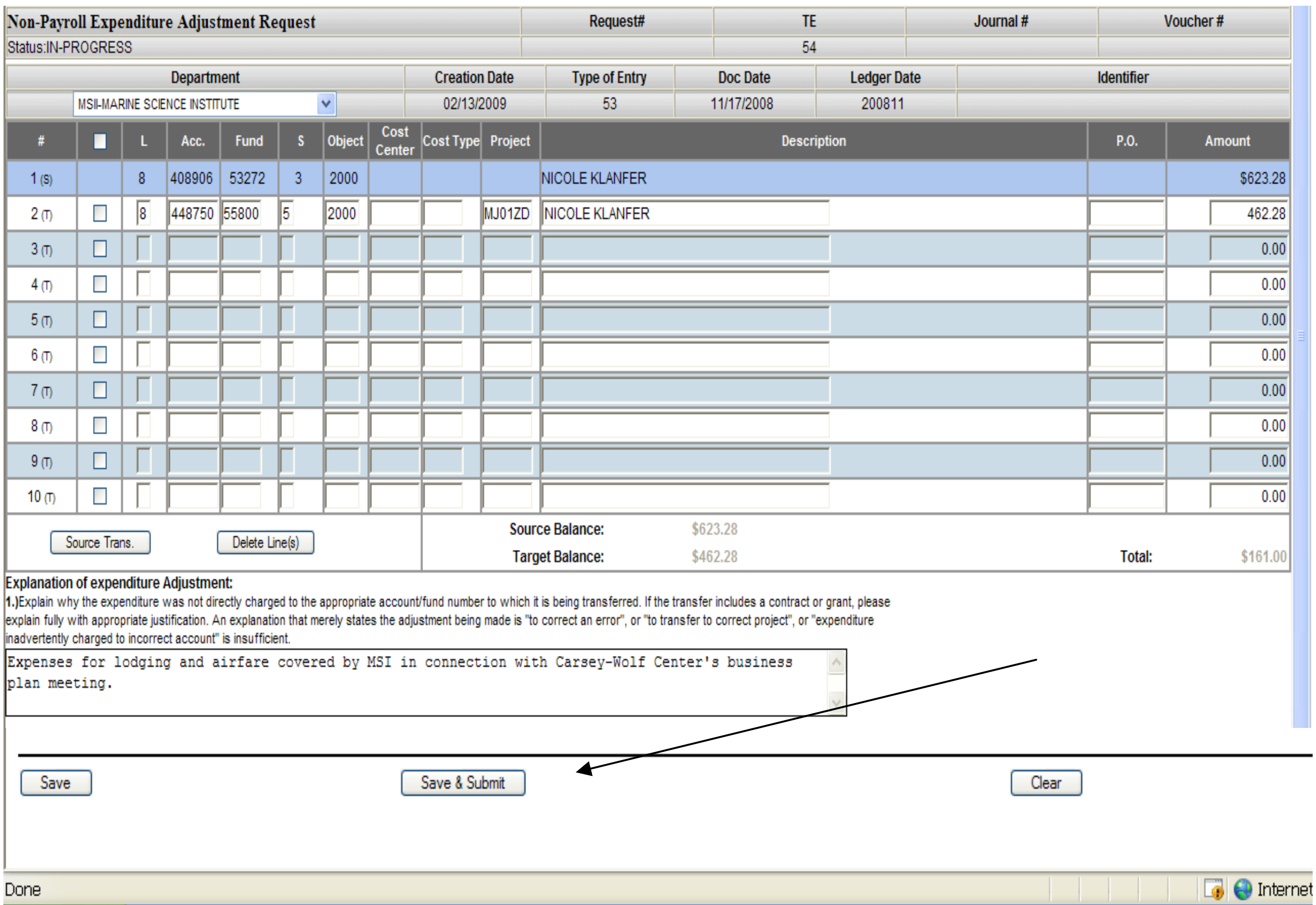
- When the transfer is Saved, a window appears indicating the Request # assigned to the transfer.



B. No/Low Risk Transaction

How to Prepare a No/Low Risk Transaction (continued):

- Save & Submit Feature:
  - The Save & Submit button sends the transfer to Reviewer I for approval.



Non-Payroll Expenditure Adjustment Request

Status:IN-PROGRESS	Request#	TE	Journal #	Voucher #
		54		

Department	Creation Date	Type of Entry	Doc Date	Ledger Date	Identifier
MSI-MARINE SCIENCE INSTITUTE	02/13/2009	53	11/17/2008	200811	

#	L	Acc.	Fund	S	Object	Cost Center	Cost Type	Project	Description	P.O.	Amount
1 (S)	8	408906	53272	3	2000				NICOLE KLANFER		$623.28
2 (T)	8	448750	55800	5	2000			MJ01ZD	NICOLE KLANFER		462.28
3 (T)											0.00
4 (T)											0.00
5 (T)											0.00
6 (T)											0.00
7 (T)											0.00
8 (T)											0.00
9 (T)											0.00
10 (T)											0.00

Source Trans. Delete Line(s)

Source Balance: $623.28
Target Balance: $462.28
Total: $161.00

Explanation of expenditure Adjustment:
1.)Explain why the expenditure was not directly charged to the appropriate account/fund number to which it is being transferred. If the transfer includes a contract or grant, please explain fully with appropriate justification. An explanation that merely states the adjustment being made is "to correct an error", or "to transfer to correct project", or "expenditure inadvertently charged to incorrect account" is insufficient.

Expenses for lodging and airfare covered by MSI in connection with Carsey-Wolf Center's business plan meeting.

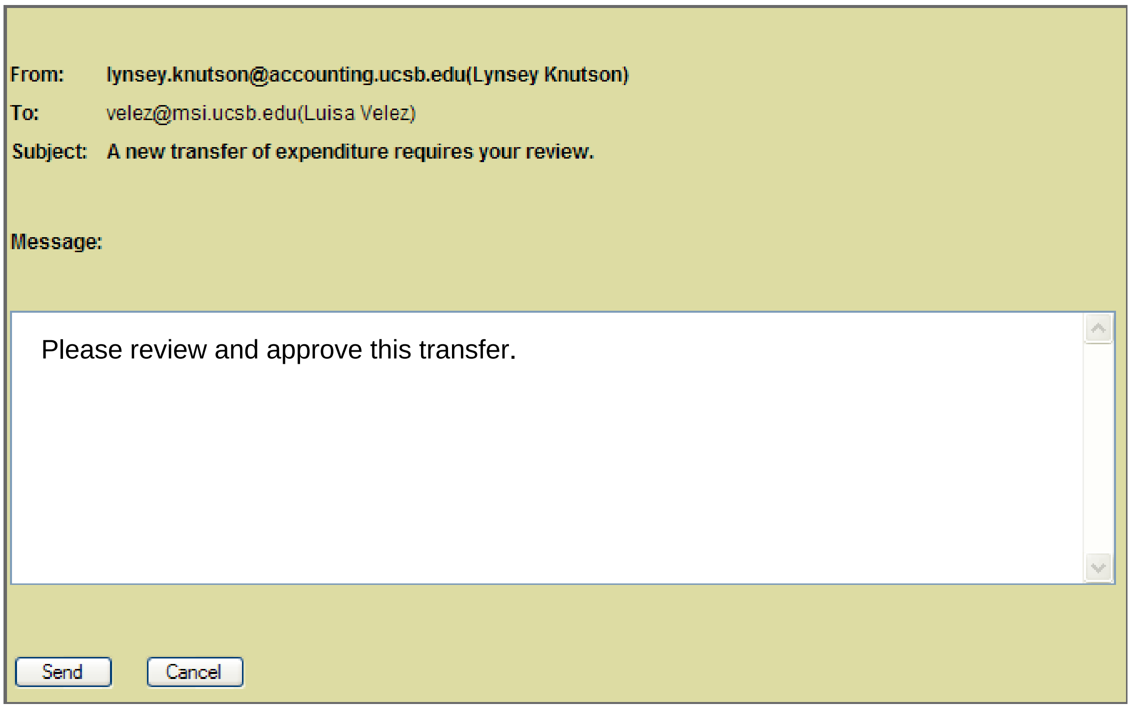
Save Save & Submit Clear

Done Internet

B. No/Low Risk Transaction

How to Prepare a No/Low Risk Transaction (continued):

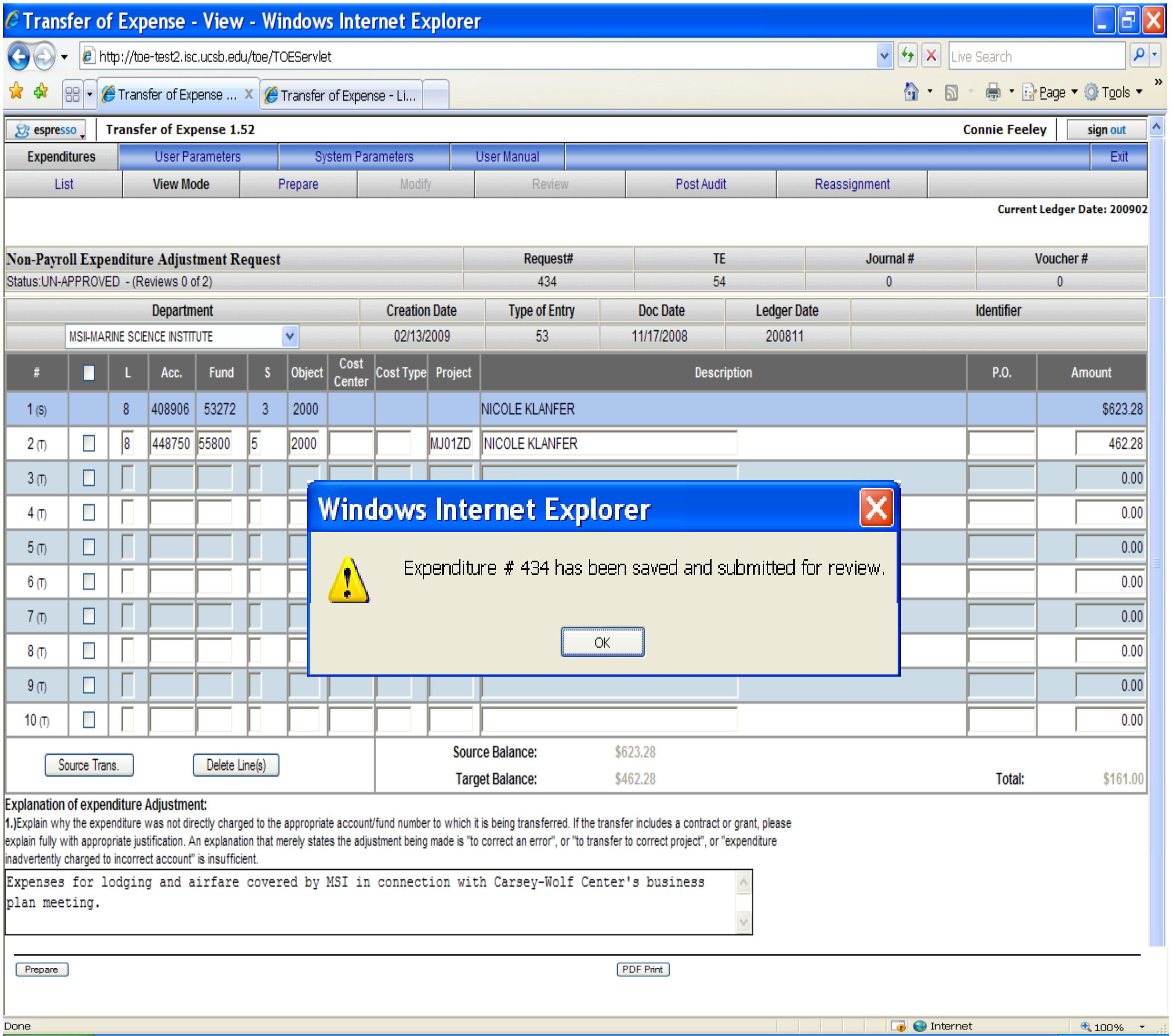
- Save & Submit Feature:
  - There is an e-mail notification generated from selecting the Save and Submit button.
  - It is to notify the Reviewer I that a transfer is pending review and approval.
  - The Preparer enters the e-mail message.



B. No/Low Risk Transaction

How to Prepare a No/Low Risk Transaction (continued):

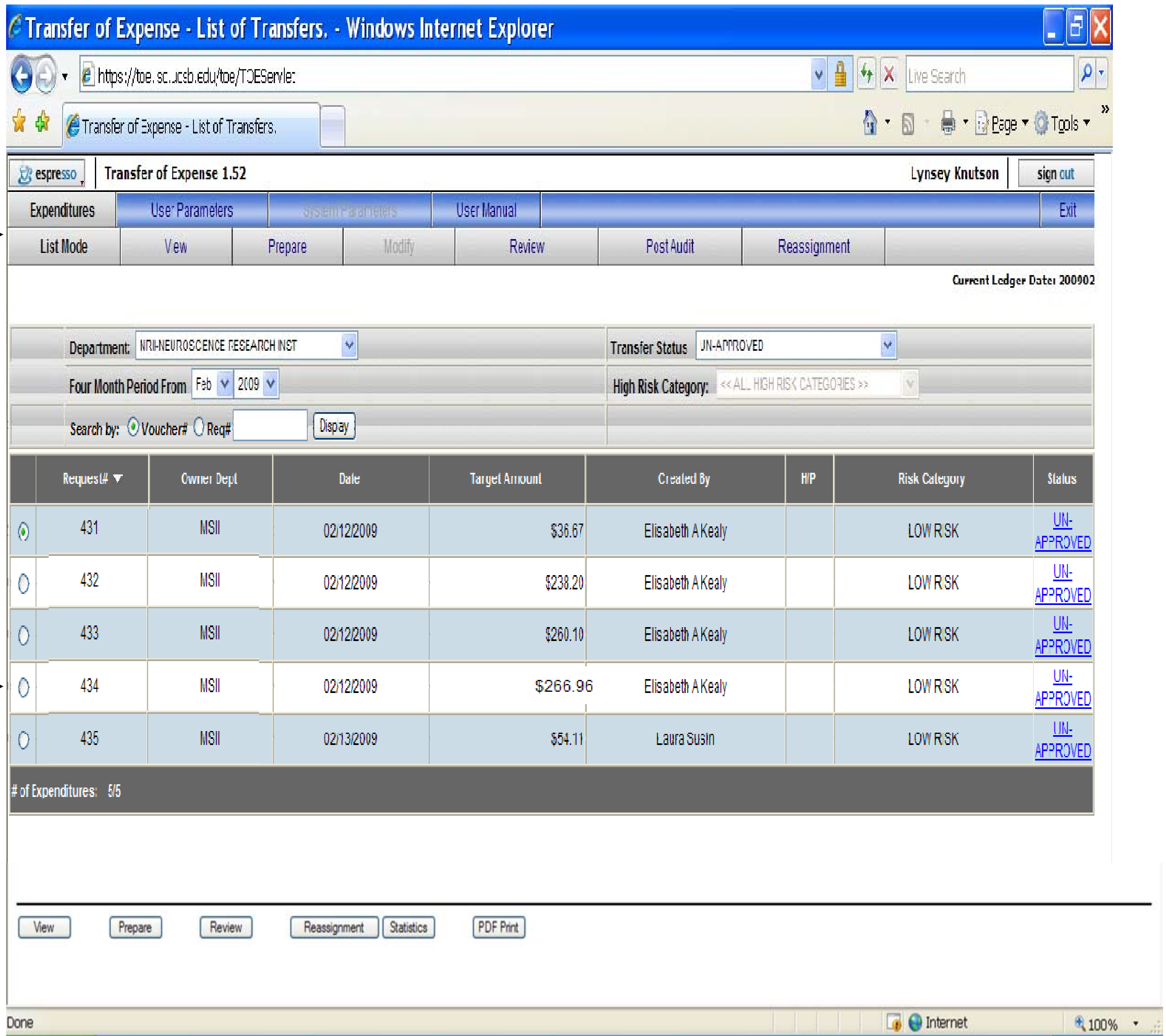
- Preparer will receive a confirmation that the transfer has been saved and submitted for department review and the Request # assigned to the transfer.



B. No/Low Risk Transaction

How to Prepare a No/Low Risk Transaction (continued):

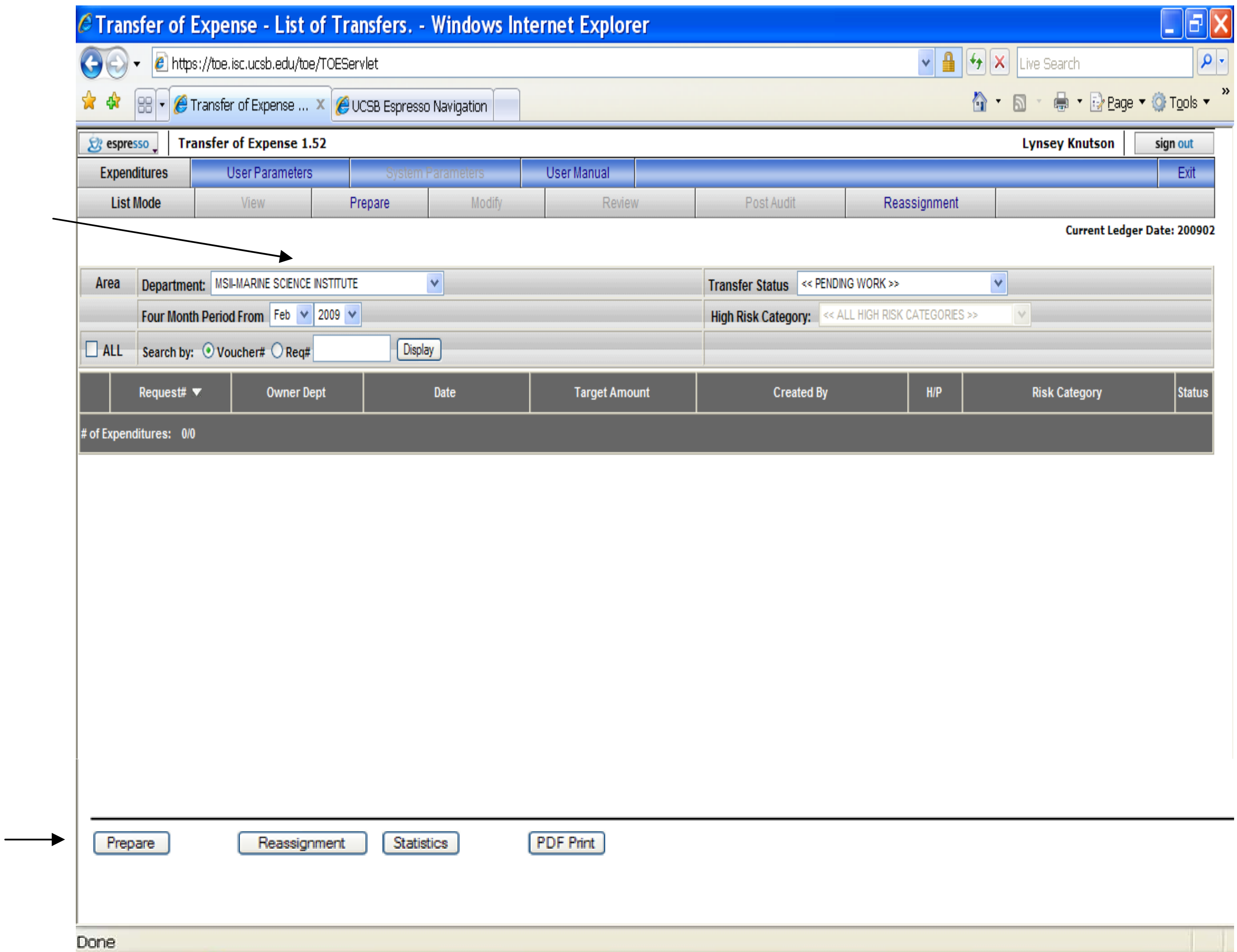
- By selecting the List Mode, the Preparer can see the status of the submitted transfer.



C. High Risk Transfer

How to Prepare a High Risk Transaction:

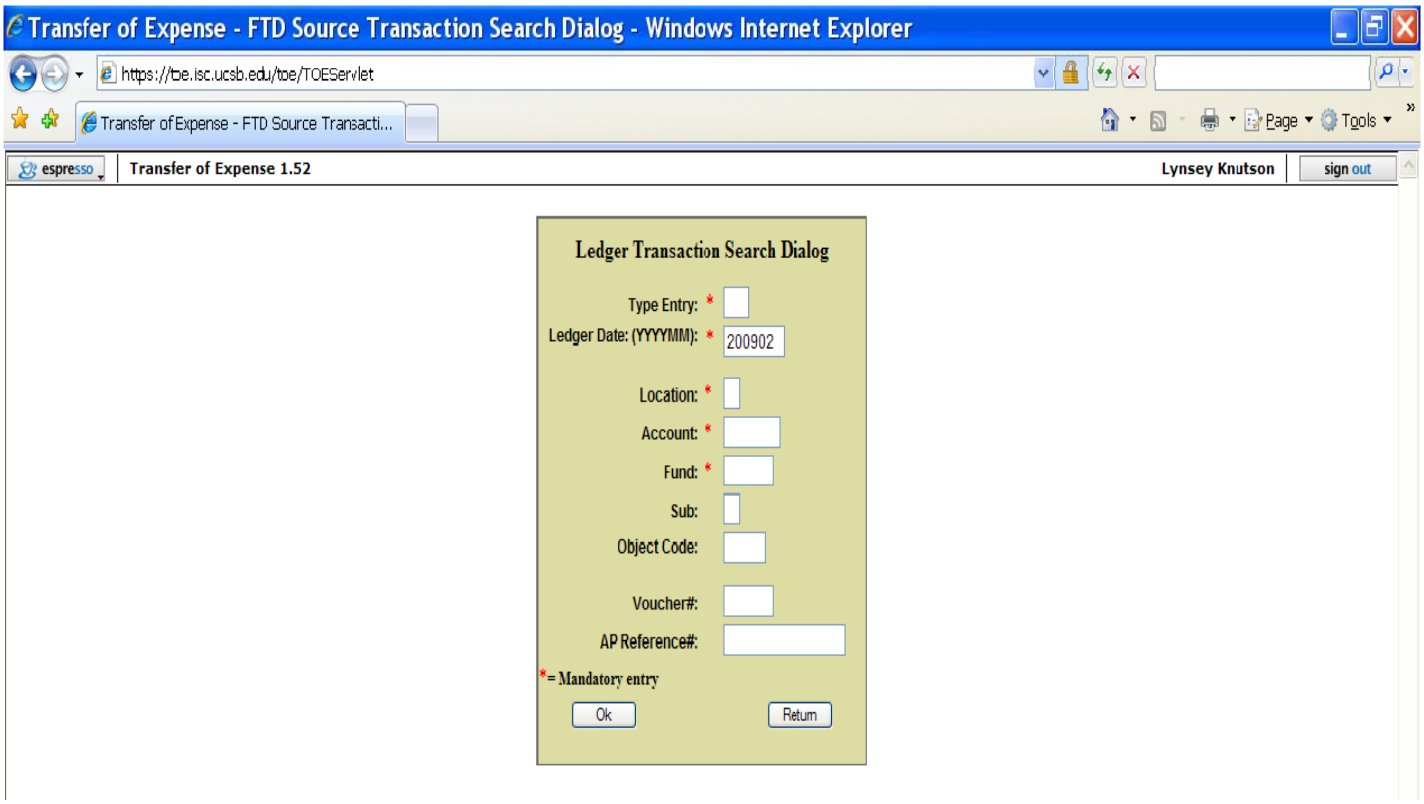
- Preparer selects the department that has the source transaction to be transferred.
- Press Prepare button.



C. High Risk Transfer

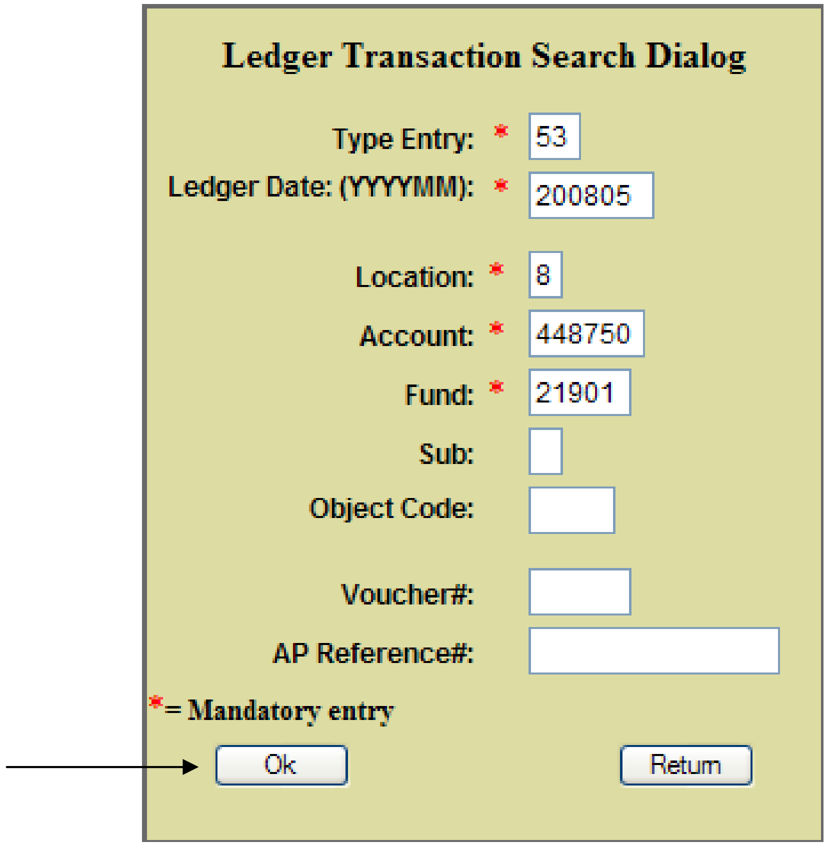
How to Prepare a High Risk Transaction (continued):

- This screen appears after the Prepare button is chosen. This screen is used to select a source transaction.



C. High Risk Transfer

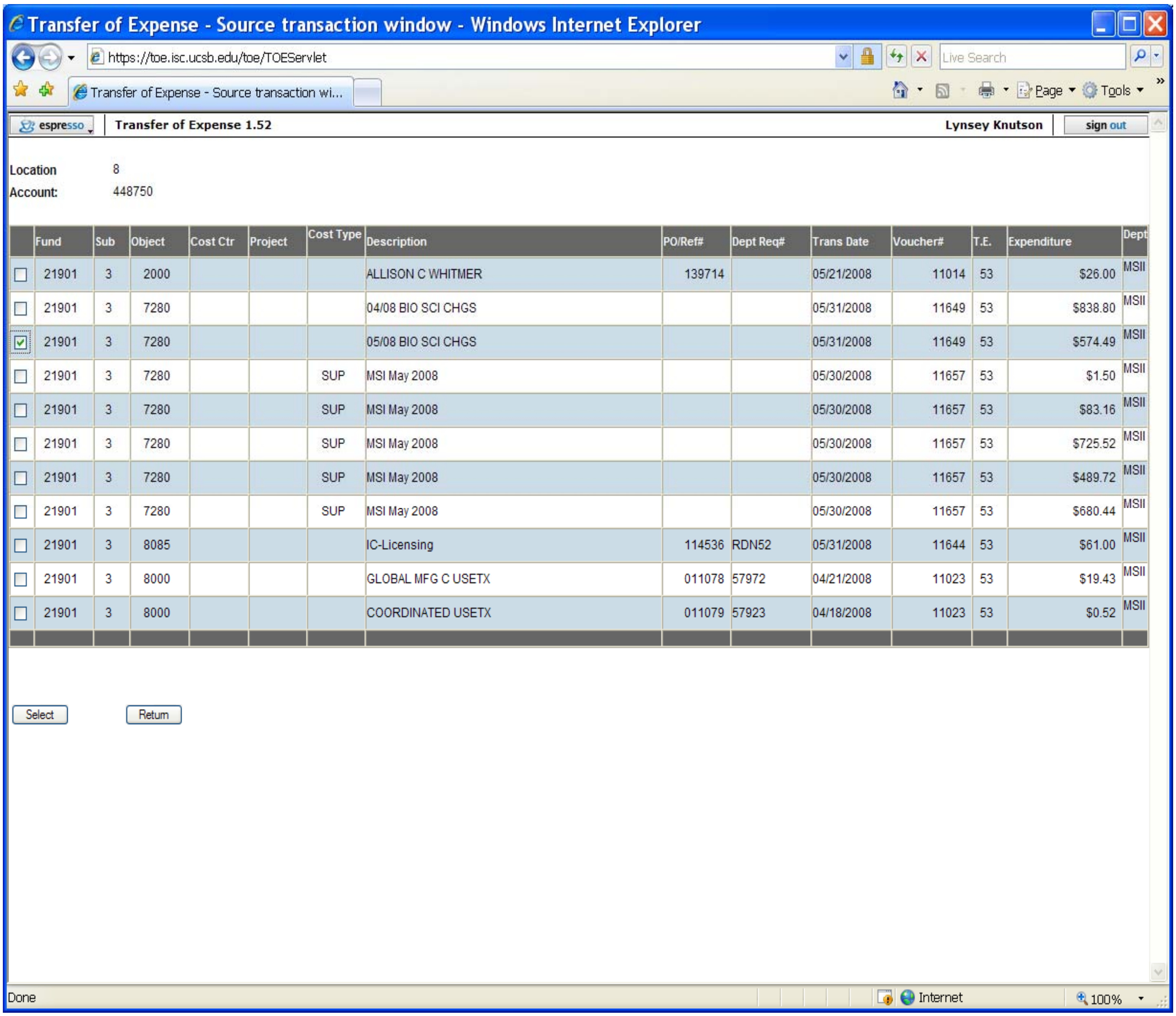
How to Prepare a High Risk Transaction (continued):



- Preparer enters general ledger data to select the source transaction.
- Mandatory entries are marked and must be completed.
- This screen is a General ledger listing of source transactions that meet the search criteria.
- Press Ok button.

C. High Risk Transfer

How to Prepare a High Risk Transaction (continued):

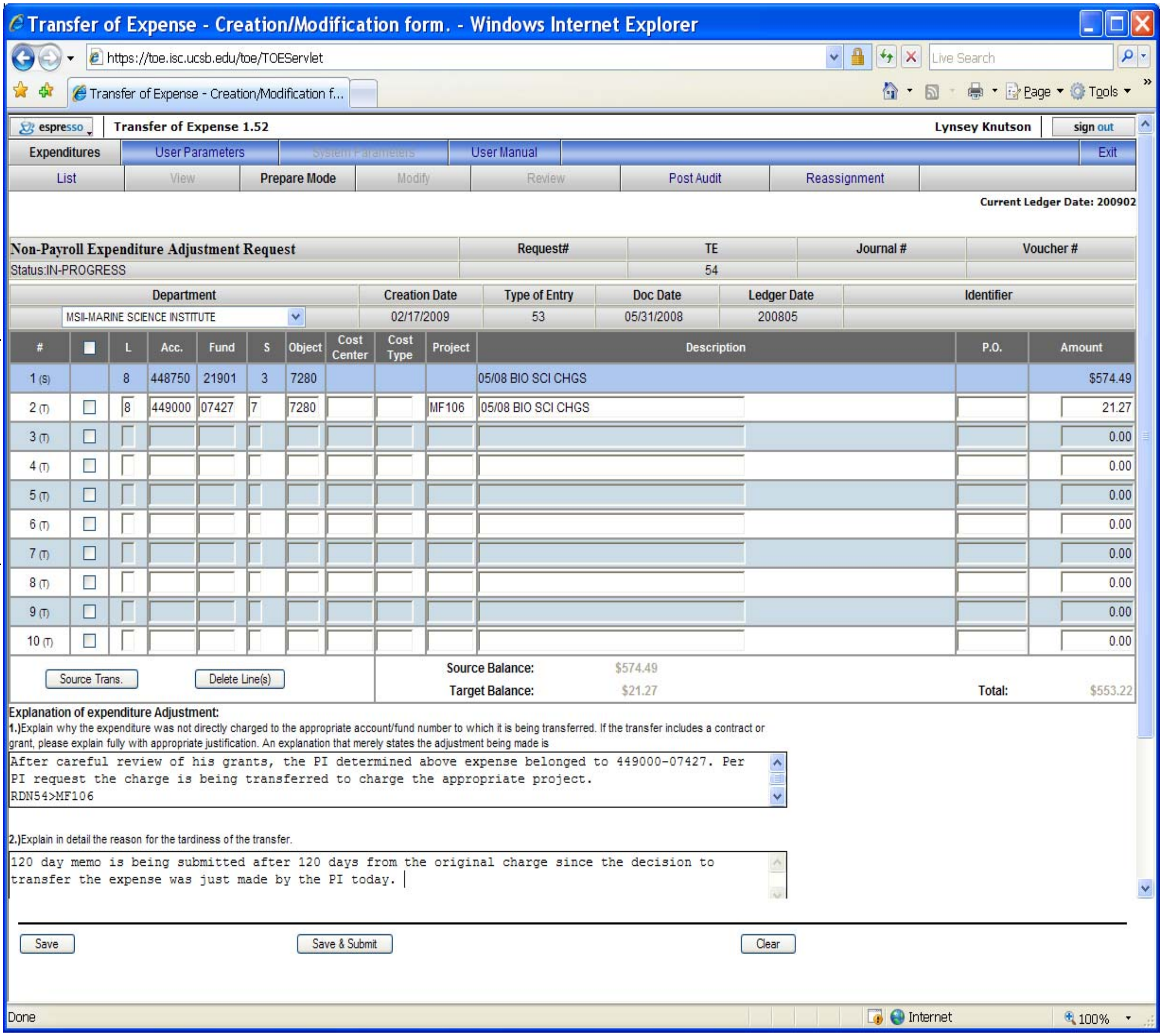


Fund	Sub	Object	Cost Ctr	Project	Cost Type	Description	PO/Ref#	Dept Req#	Trans Date	Voucher#	T.E.	Expenditure	Dept
21901	3	2000				ALLISON C WHITMER	139714		05/21/2008	11014	53	$26.00	MSII
21901	3	7280				04/08 BIO SCI CHGS			05/31/2008	11649	53	$838.80	MSII
21901	3	7280				05/08 BIO SCI CHGS			05/31/2008	11649	53	$574.49	MSII
21901	3	7280			SUP	MSI May 2008			05/30/2008	11657	53	$1.50	MSII
21901	3	7280			SUP	MSI May 2008			05/30/2008	11657	53	$83.16	MSII
21901	3	7280			SUP	MSI May 2008			05/30/2008	11657	53	$725.52	MSII
21901	3	7280			SUP	MSI May 2008			05/30/2008	11657	53	$489.72	MSII
21901	3	7280			SUP	MSI May 2008			05/30/2008	11657	53	$680.44	MSII
21901	3	8085				IC-Licensing	114536	RDN52	05/31/2008	11644	53	$61.00	MSII
21901	3	8000				GLOBAL MFG C USETX	011078	57972	04/21/2008	11023	53	$19.43	MSII
21901	3	8000				COORDINATED USETX	011079	57923	04/18/2008	11023	53	$0.52	MSII

- Select the expense to be transferred
- Click on the “Select” button to select the source transaction from the list provided from the search.

C. High Risk Transfer

How to Prepare a High Risk Transaction (continued):


Transfer of Expense - Creation/Modification form. - Windows Internet Explorer

https://toe.isc.ucsb.edu/toe/TOEServlet

Transfer of Expense 1.52 Lynsey Knutson sign out

Expenditures | User Parameters | System Parameters | User Manual | Exit

List | View | Prepare Mode | Modify | Review | Post Audit | Reassignment

Current Ledger Date: 200902

Non-Payroll Expenditure Adjustment Request	Request#	TE	Journal #	Voucher #
Status:IN-PROGRESS		54		

Department	Creation Date	Type of Entry	Doc Date	Ledger Date	Identifier
MSI-MARINE SCIENCE INSTITUTE	02/17/2009	53	05/31/2008	200805	

#		L	Acc.	Fund	S	Object	Cost Center	Cost Type	Project	Description	P.O.	Amount
1 (S)		8	448750	21901	3	7280				05/08 BIO SCI CHGS		$574.49
2 (T)		8	449000	07427	7	7280			MF106	05/08 BIO SCI CHGS		21.27
3 (T)												0.00
4 (T)												0.00
5 (T)												0.00
6 (T)												0.00
7 (T)												0.00
8 (T)												0.00
9 (T)												0.00
10 (T)												0.00

Source Trans. Delete Line(s)

Source Balance: $574.49

Target Balance: $21.27 Total: $553.22

Explanation of expenditure Adjustment:

1.)Explain why the expenditure was not directly charged to the appropriate account/fund number to which it is being transferred. If the transfer includes a contract or grant, please explain fully with appropriate justification. An explanation that merely states the adjustment being made is

After careful review of his grants, the PI determined above expense belonged to 449000-07427. Per PI request the charge is being transferred to charge the appropriate project.
RDN54>MF106

2.)Explain in detail the reason for the tardiness of the transfer.

120 day memo is being submitted after 120 days from the original charge since the decision to transfer the expense was just made by the PI today.

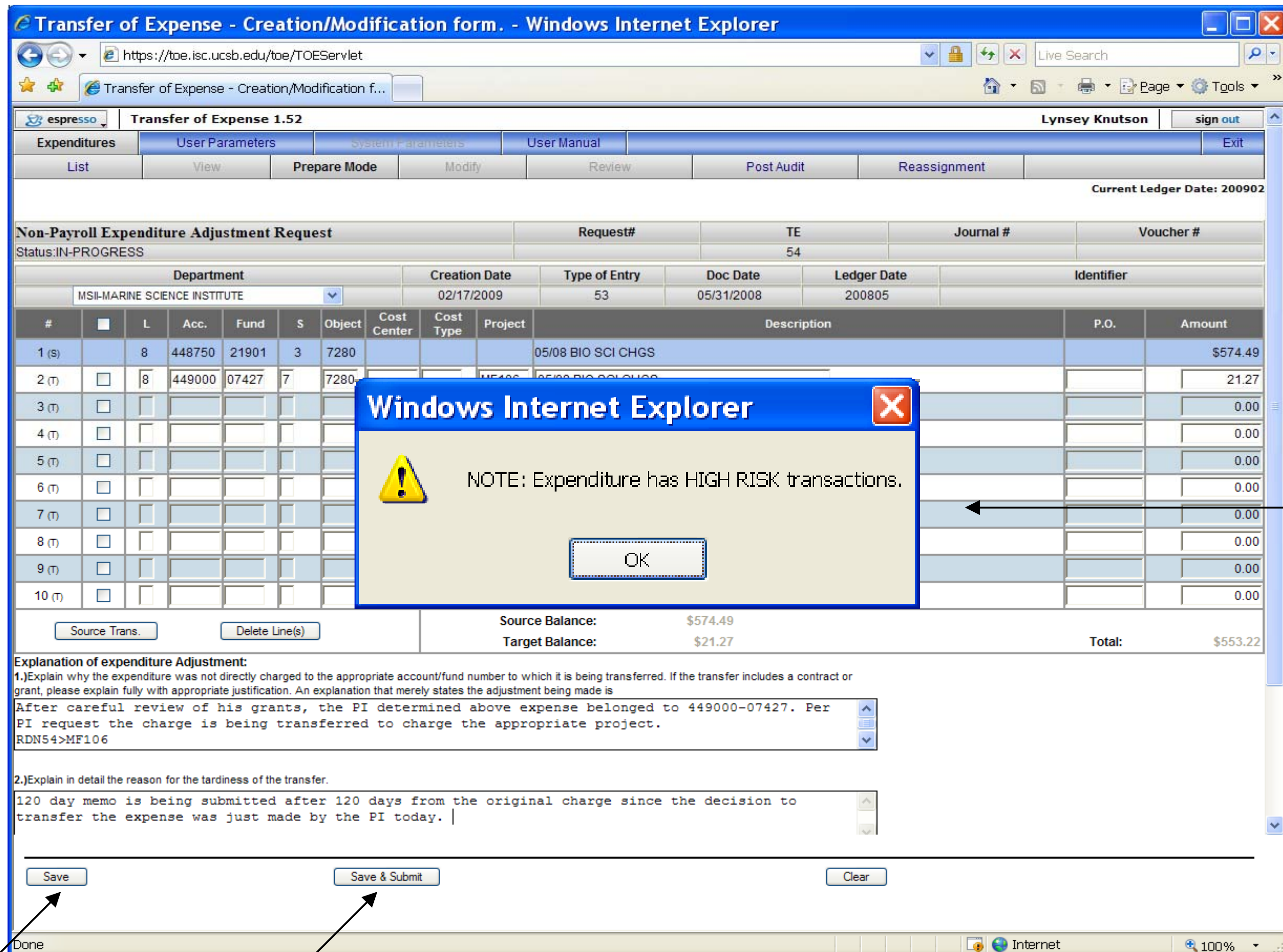
Save Save & Submit Clear

Done Internet 100%

- Enter the target transaction to be submitted.
- There can be multiple target transactions.

C. High Risk Transfer

How to Prepare a High Risk Transaction (continued):



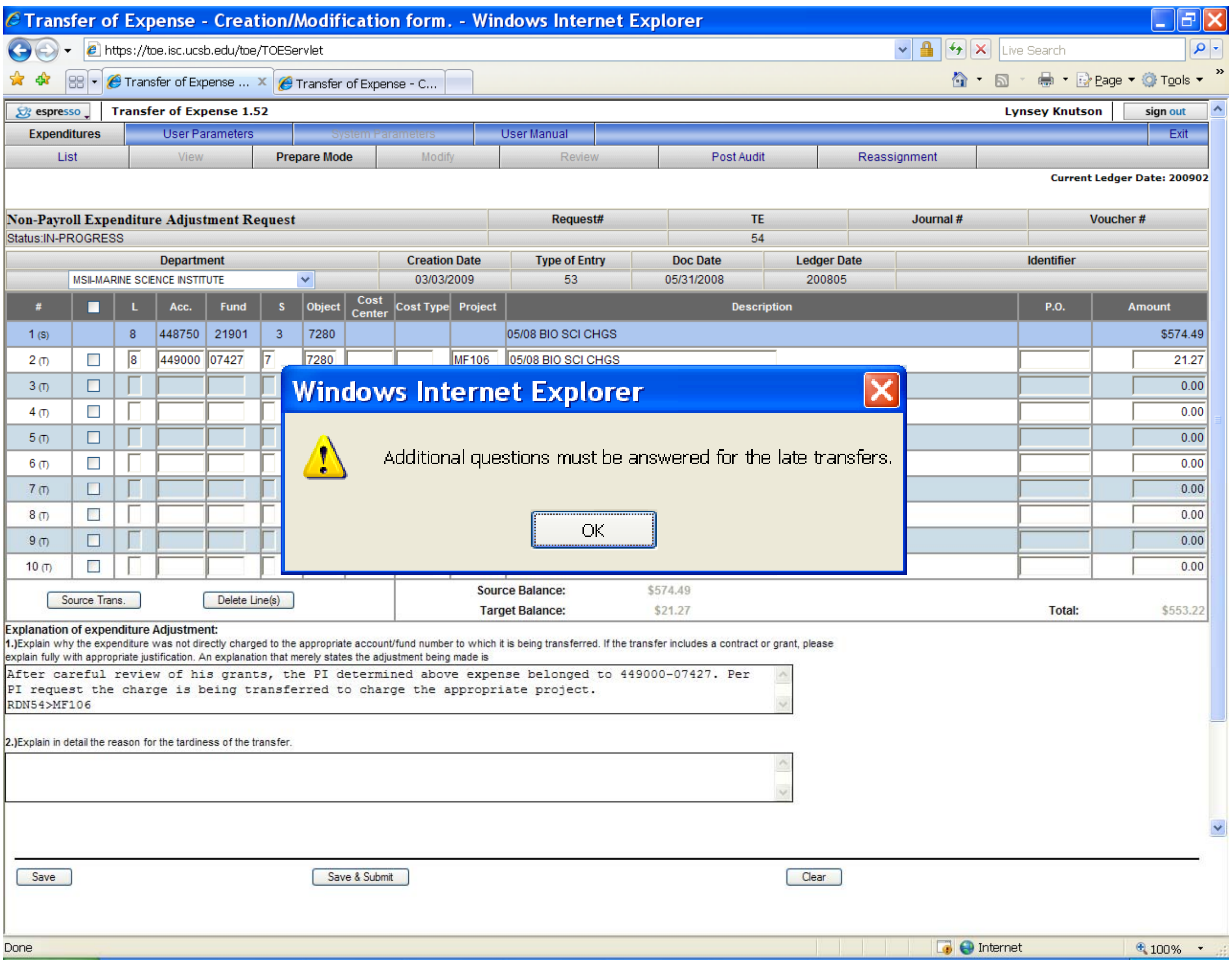
Two Options:

- Save: Press the “Save” button to save it without submitting for review.
- Save & Submit: Press the “Save & Submit” button to be reviewed by the Reviewers.
  - This screen appears when the target transaction is entered and the “Save and Submit” button is selected.
- A window indicating “NOTE: Expenditure has HIGH RISK transactions” will appear.

C. High Risk Transfer

How to Prepare a High Risk Transaction (continued):

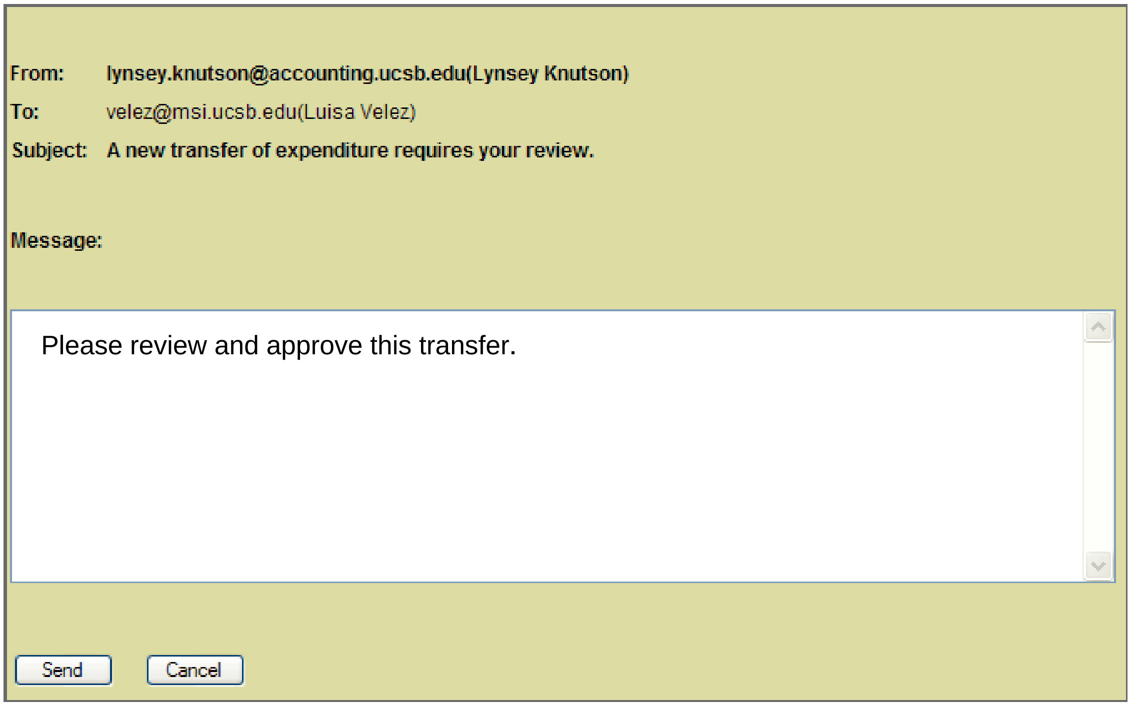
- Any transfers being processed over 120 days from the ledger date of the expense are required to give a full explanation why this required adjustment is late.
- After Save or Save and Submit is selected a notice will appear stating that “additional questions must be answered for the late transfers” if the transfer needs a 120 day memo.
- Select Save or Save & Submit once the 120 day memo has been entered.



- Select Save or Save & Submit once the 120 day memo has been entered.

C. High Risk Transfer

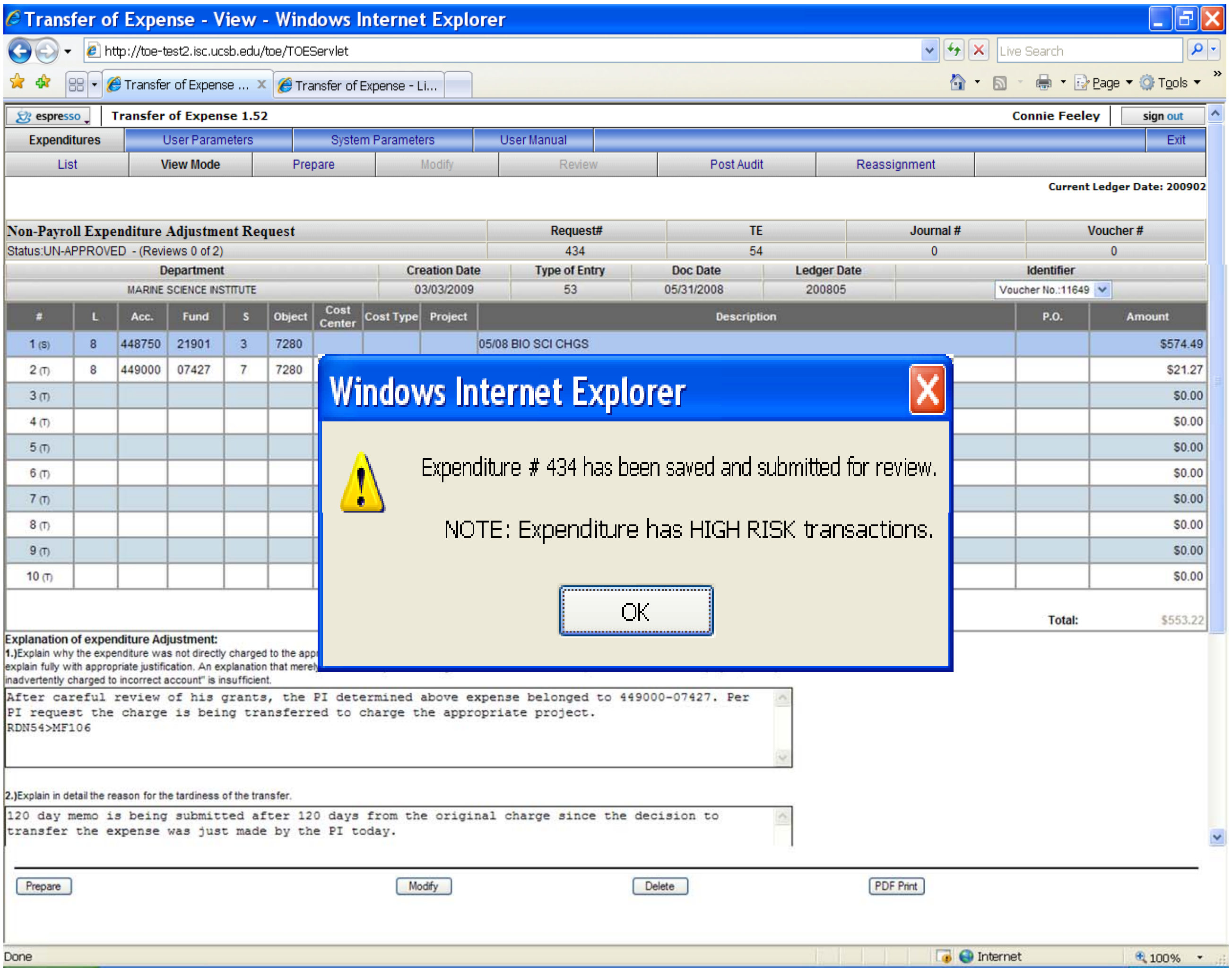
How to Prepare a High Risk Transaction (continued):



- An E-mail notification from the Preparer to the Reviewer I and Reviewer III of a high risk transfer will appear.
- The Reviewers will receive this email prompting them to review and approve the transfer.

C. High Risk Transfer

How to Prepare a High Risk Transaction (continued):



- The message above appears to the Preparer I confirming that the high risk transfer has been submitted to Reviewer I and Reviewer III for approval or rejection.

- Printing the Transfer:

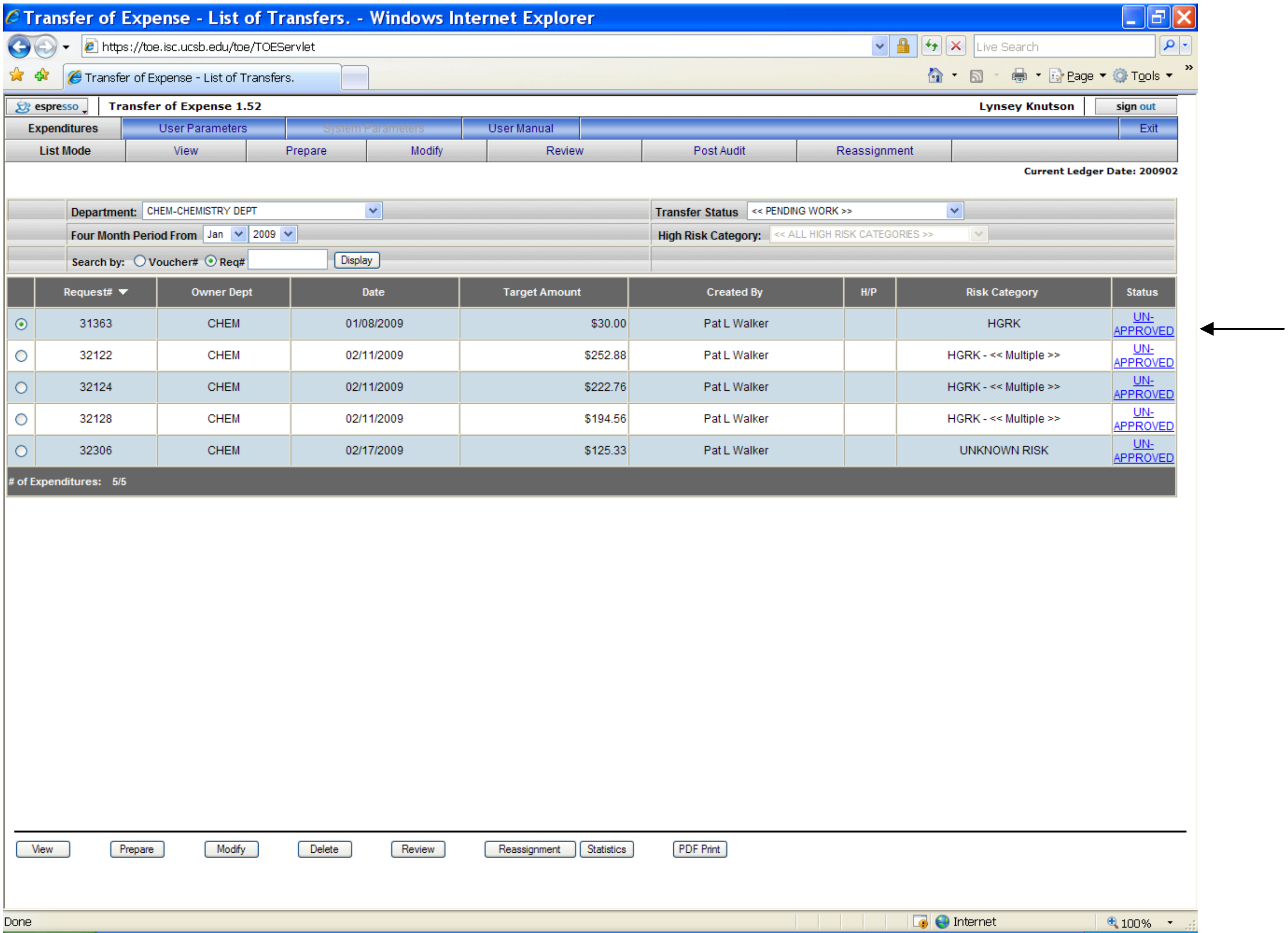
  - On a High Risk transfer, the transfer needs to be printed by pressing the “PDF Print” button.

  - The transfer must be signed by the principal investigator, chair, or other academic official and maintained in the department for auditing.

  - The backup documentation for the transfer must be maintained in the department to be accessible during an audit.

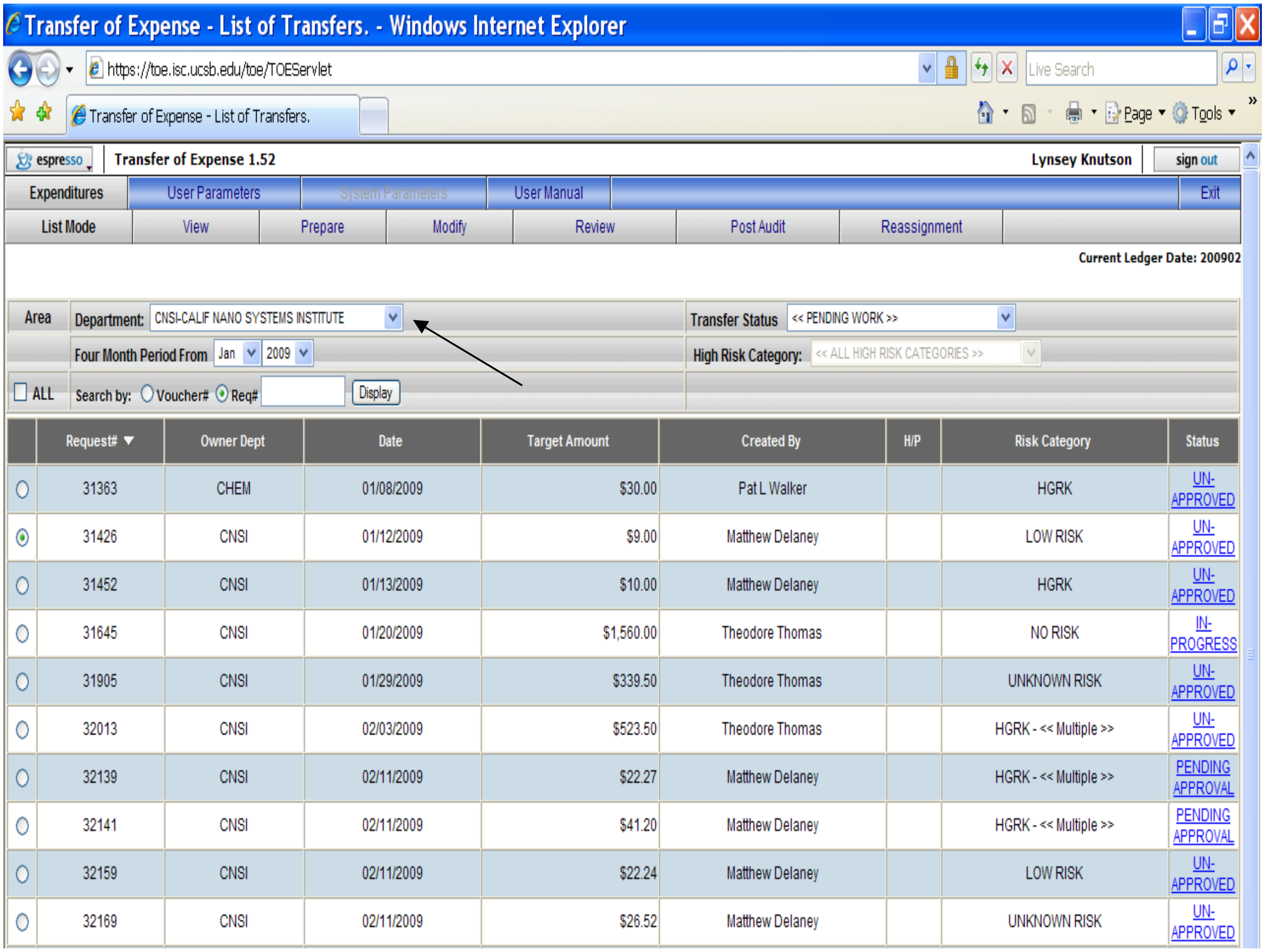
C. High Risk Transfer

How to Prepare a High Risk Transaction (continued):



- The status of the transfer submitted by the Preparer will view the status of transfer as 'UN-APPROVED'.

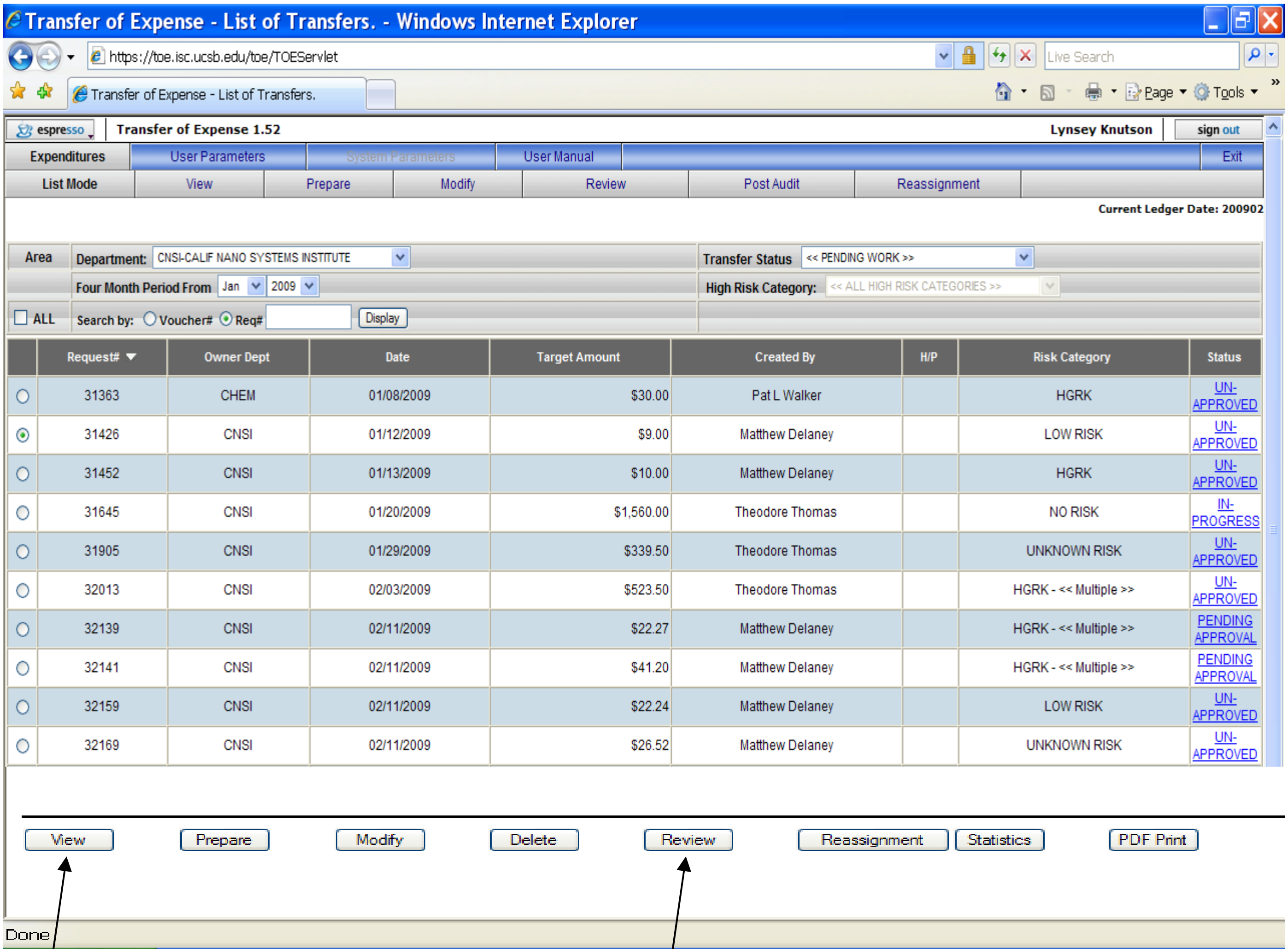
A. Approving a No/Low Risk Transfer



Request#	Owner Dept	Date	Target Amount	Created By	H/P	Risk Category	Status
31363	CHEM	01/08/2009	$30.00	Pat L Walker		HGRK	UN-APPROVED
31426	CNSI	01/12/2009	$9.00	Matthew Delaney		LOW RISK	UN-APPROVED
31452	CNSI	01/13/2009	$10.00	Matthew Delaney		HGRK	UN-APPROVED
31645	CNSI	01/20/2009	$1,560.00	Theodore Thomas		NO RISK	IN-PROGRESS
31905	CNSI	01/29/2009	$339.50	Theodore Thomas		UNKNOWN RISK	UN-APPROVED
32013	CNSI	02/03/2009	$523.50	Theodore Thomas		HGRK - << Multiple >>	UN-APPROVED
32139	CNSI	02/11/2009	$22.27	Matthew Delaney		HGRK - << Multiple >>	PENDING APPROVAL
32141	CNSI	02/11/2009	$41.20	Matthew Delaney		HGRK - << Multiple >>	PENDING APPROVAL
32159	CNSI	02/11/2009	$22.24	Matthew Delaney		LOW RISK	UN-APPROVED
32169	CNSI	02/11/2009	$26.52	Matthew Delaney		UNKNOWN RISK	UN-APPROVED

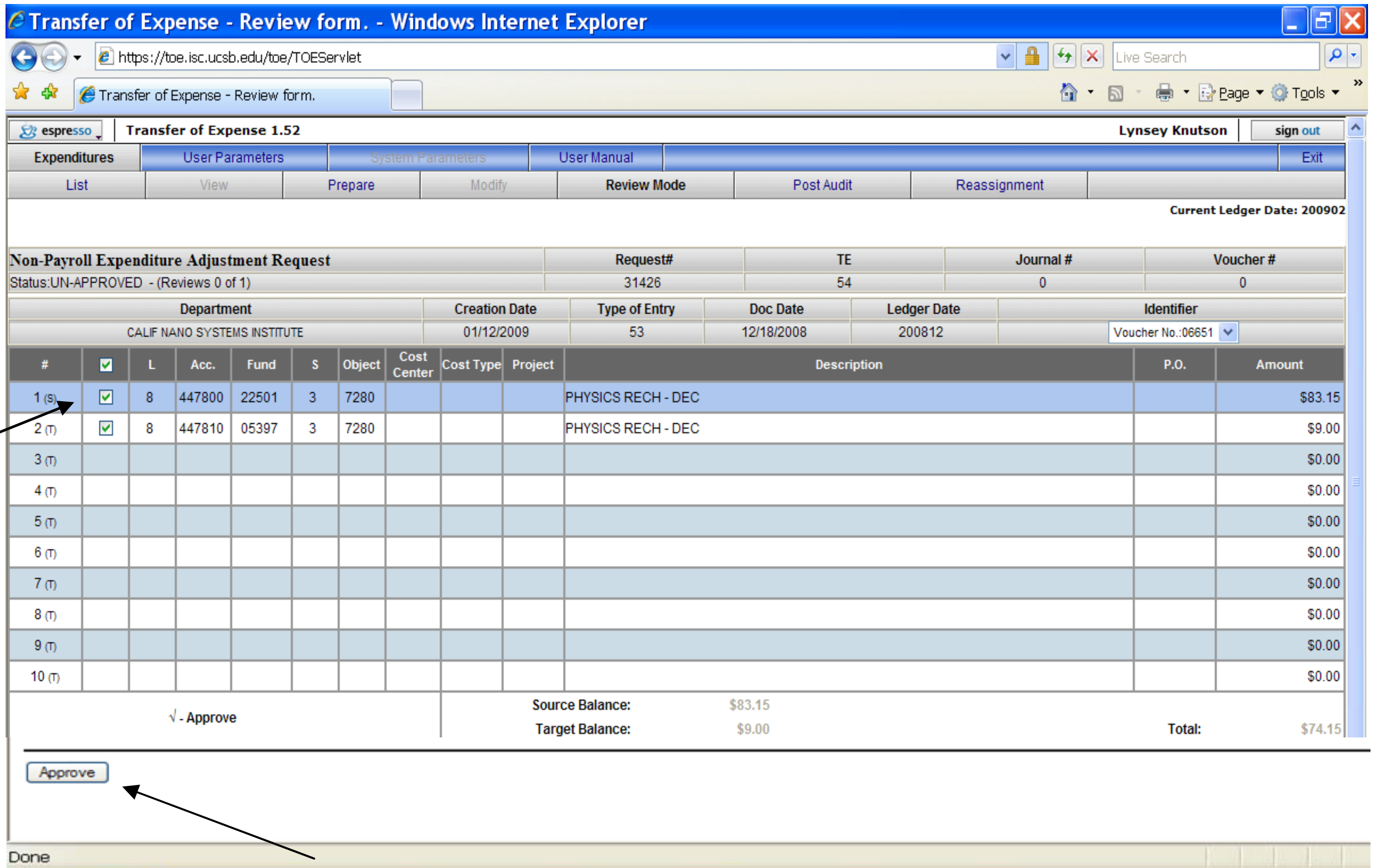
- Reviewer I selects the department of the source transaction if they are responsible for more then one department.
- Use the pull down button to select other departments.

A. Approving a No/Low Risk Transfer (continued)



- Reviewer I will receive the transfer in the "Pending Work" status requiring approval.
- Select the target transaction
- View
  - This button will allow the Reviewer to view the transfer or select the Review button at the bottom of the screen to go into the approval mode. In the View mode, a Reviewer can return the transfer to the Preparer by selecting the "Change Status to In-Process".
- Review
  - This button will allow the Reviewer to approve or reject the transfer.

A. Approving a No/Low Risk Transfer (continued)



#	☑	L	Acc.	Fund	S	Object	Cost Center	Cost Type	Project	Description	P.O.	Amount
1 (S)	☑	8	447800	22501	3	7280				PHYSICS RECH - DEC		$83.15
2 (T)	☑	8	447810	05397	3	7280				PHYSICS RECH - DEC		$9.00
3 (T)												$0.00
4 (T)												$0.00
5 (T)												$0.00
6 (T)												$0.00
7 (T)												$0.00
8 (T)												$0.00
9 (T)												$0.00
10 (T)												$0.00

√ - Approve
Source Balance: $83.15
Target Balance: $9.00
Total: $74.15
Approve
Done

<u>Reviewer I Approval</u>

- To approve all the transactions: Click on the box at the top of the column between the "#" and "L" to select all transactions. Once the transactions have been selected for approval, the "Reject" button will change to "Approve". Click on the "Approve" button on the bottom of the screen.

- To approve specific transactions: Click on the each box for the specific row. Once the transactions have been selected for approval, the "Reject" button will change to "Approve". Click on the "Approve" button on the bottom of the screen.

<u>Reviewer I Reject</u>

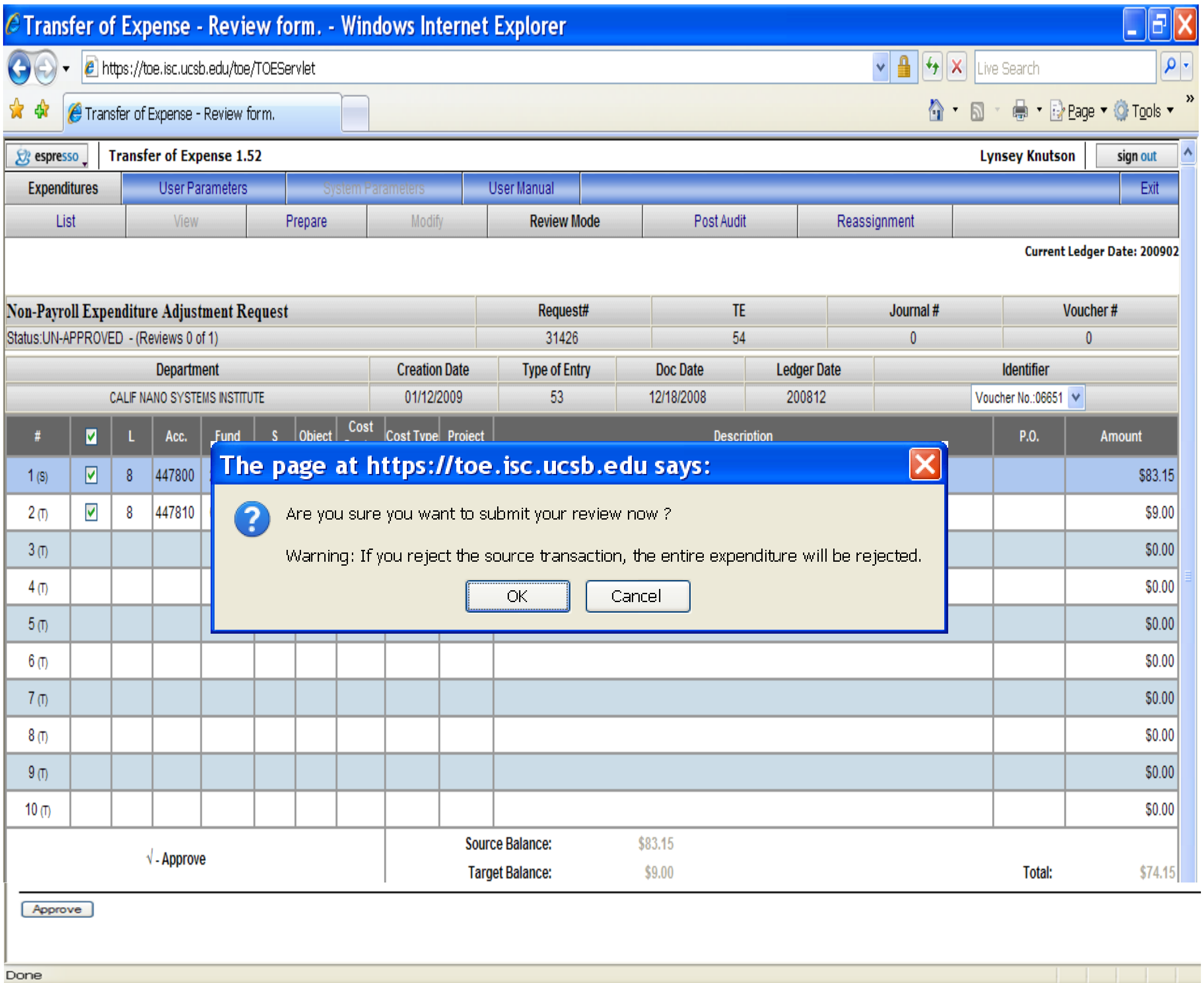
- To reject all the transactions: Do not click on any box at the top of the column. Click on the "Reject" button located on the bottom of the screen and the transfer is rejected.

- To reject specific transactions: Click only on the boxes to approve a specific transaction that is to be approved. All other boxes that are not selected will be rejected transactions. Click on the "Reject" button located on the bottom of the screen and the transactions not selected are rejected.

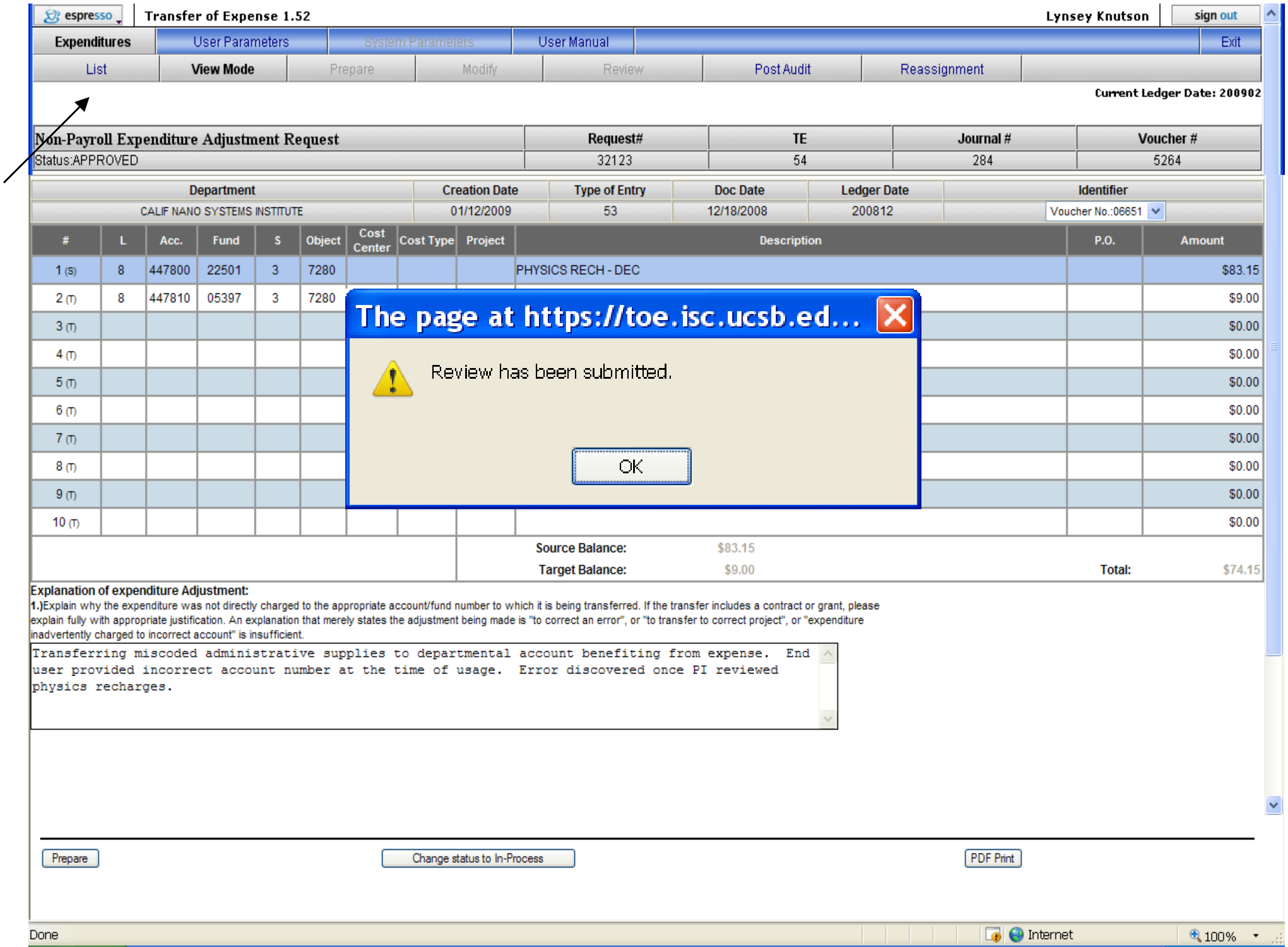
- **(Refer to page 52 for information on approving a partial transfer)**

A. Approving a No/Low Transfer (continued)

- This screen appears upon approval of the transfer.
- If approved, click on the OK box.



A. Approving a No/Low Transfer (continued)



- Reviewer I approves the transfer and the following screen is the result of an approved transaction.
- An email will be sent confirming Approval of the transfer.
- Select the List Mode to return the initial screen of “Pending Work” transactions.

B. Approving a High Risk Transfer

- A transfer that is identified as a High Risk transfer by the TOE system will require approval from the Reviewer III. See page 5 for Risk Levels that identify when a transfer is considered High Risk.

- Approved Transfers

  - An email will be generated automatically and sent to the Preparer that the transfer has been approved.

- Returned Transfers

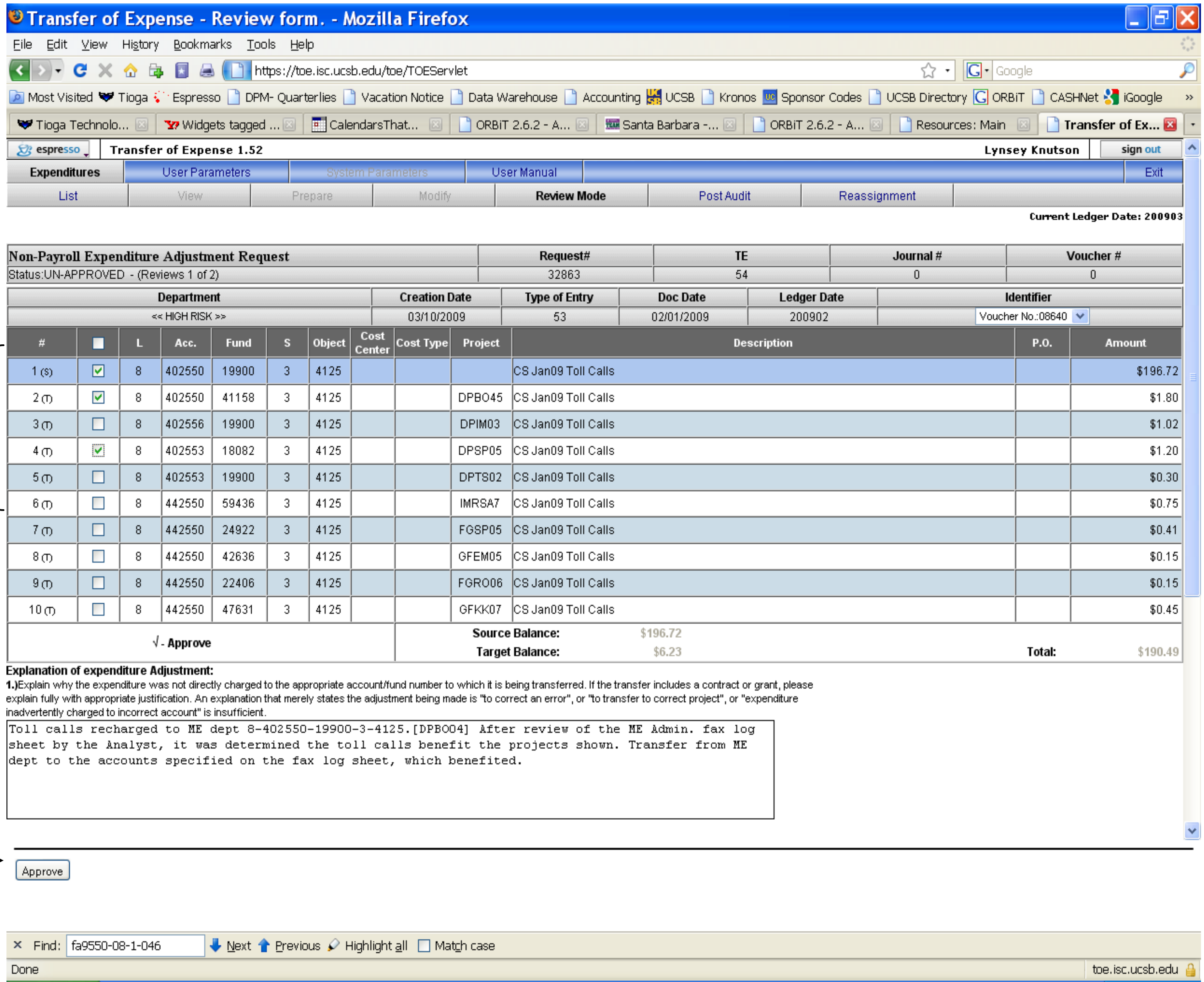
  - If the explanation is not sufficient, the Reviewer III will return the transfer to the Preparer requesting additional explanation by changing the status of the transfer to In-Process. An email will be sent to all the preparers in the preparer group.

- Rejected Transfers

  - An email will be sent to all the preparers in the preparer group if a transaction has been rejected. The Reviewer III will explain the reason for the rejected transfer.

- Transfers must be approved or rejected by the end of each month for the transfers to be processed for the current general ledger cycle.

C. Approving a Partial Transfer



Transfer of Expense - Review form. - Mozilla Firefox

Transfer of Expense 1.52 — Lynsey Knutson

Expenditures | User Parameters | System Parameters | User Manual | Exit

List | View | Prepare | Modify | Review Mode | Post Audit | Reassignment

Current Ledger Date: 200903

Non-Payroll Expenditure Adjustment Request	Request#	TE	Journal #	Voucher #
Status:UN-APPROVED - (Reviews 1 of 2)	32863	54	0	0

Department	Creation Date	Type of Entry	Doc Date	Ledger Date	Identifier
<< HIGH RISK >>	03/10/2009	53	02/01/2009	200902	Voucher No.:08640

#	☐	L	Acc.	Fund	S	Object	Cost Center	Cost Type	Project	Description	P.O.	Amount
1 (S)	☑	8	402550	19900	3	4125				CS Jan09 Toll Calls		$196.72
2 (T)	☑	8	402550	41158	3	4125			DPBO45	CS Jan09 Toll Calls		$1.80
3 (T)	☐	8	402556	19900	3	4125			DPIM03	CS Jan09 Toll Calls		$1.02
4 (T)	☑	8	402553	18082	3	4125			DPSP05	CS Jan09 Toll Calls		$1.20
5 (T)	☐	8	402553	19900	3	4125			DPTS02	CS Jan09 Toll Calls		$0.30
6 (T)	☐	8	442550	59436	3	4125			IMRSA7	CS Jan09 Toll Calls		$0.75
7 (T)	☐	8	442550	24922	3	4125			FGSP05	CS Jan09 Toll Calls		$0.41
8 (T)	☐	8	442550	42636	3	4125			GFEM05	CS Jan09 Toll Calls		$0.15
9 (T)	☐	8	442550	22406	3	4125			FGRO06	CS Jan09 Toll Calls		$0.15
10 (T)	☐	8	442550	47631	3	4125			GFKK07	CS Jan09 Toll Calls		$0.45

√ - Approve — Source Balance: $196.72 — Target Balance: $6.23 — Total: $190.49

Explanation of expenditure Adjustment:

1.) Explain why the expenditure was not directly charged to the appropriate account/fund number to which it is being transferred. If the transfer includes a contract or grant, please explain fully with appropriate justification. An explanation that merely states the adjustment being made is "to correct an error", or "to transfer to correct project", or "expenditure inadvertently charged to incorrect account" is insufficient.

Toll calls recharged to ME dept 8-402550-19900-3-4125.[DPBO04] After review of the ME Admin. fax log sheet by the Analyst, it was determined the toll calls benefit the projects shown. Transfer from ME dept to the accounts specified on the fax log sheet, which benefited.

Approve

Find: fa9550-08-1-046 Next Previous Highlight all Match case

Done toe.isc.ucsb.edu

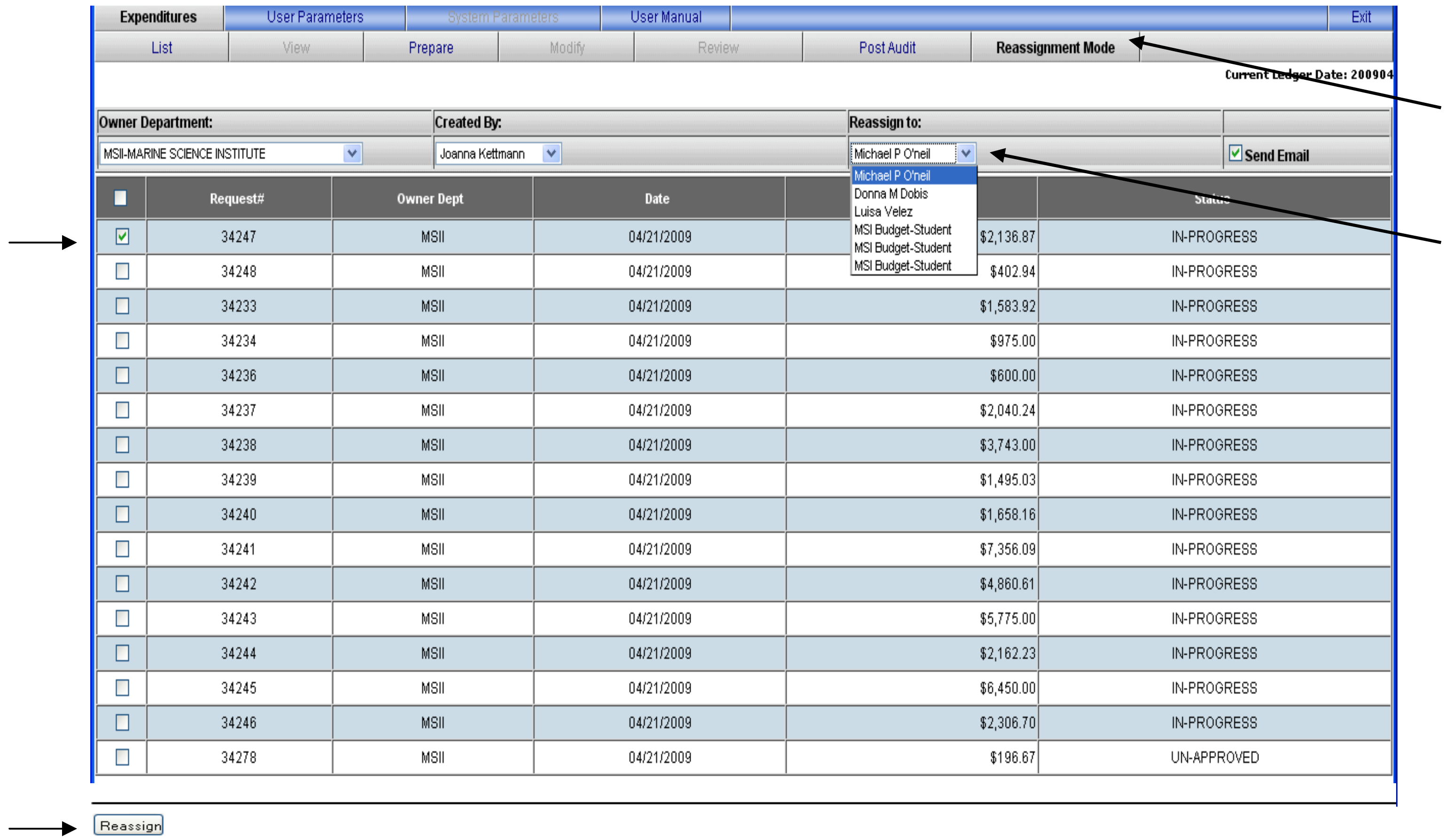
- Check the boxes next to the transfers that you would like to approve and leave the others blank

- Select the approve button

- **(Refer to page 49 &50 for the rest of the approval process)**

D. Reassignment of a Transfer

- A transfer may be reassigned from one Preparer to another if the transfer is being returned by a Reviewer I or Reviewer III and the original Preparer is no longer a valid Preparer in that department.
- This can only be done if the current transfer status is IN-PROGRESS and the new Preparer has access to the same department.



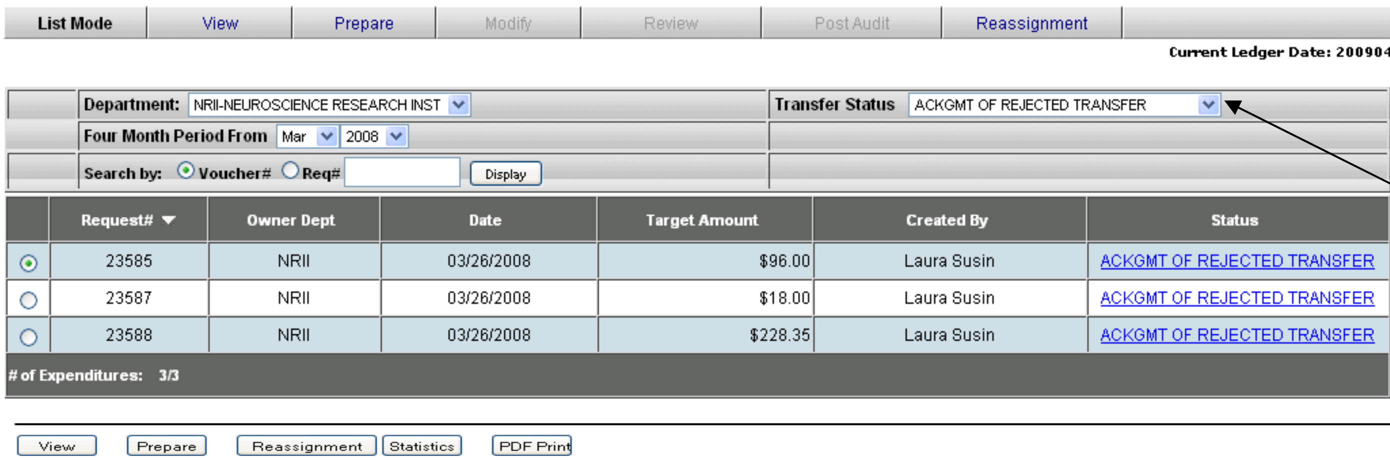
	Request#	Owner Dept	Date		Status
☑	34247	MSII	04/21/2009	$2,136.87	IN-PROGRESS
☐	34248	MSII	04/21/2009	$402.94	IN-PROGRESS
☐	34233	MSII	04/21/2009	$1,583.92	IN-PROGRESS
☐	34234	MSII	04/21/2009	$975.00	IN-PROGRESS
☐	34236	MSII	04/21/2009	$600.00	IN-PROGRESS
☐	34237	MSII	04/21/2009	$2,040.24	IN-PROGRESS
☐	34238	MSII	04/21/2009	$3,743.00	IN-PROGRESS
☐	34239	MSII	04/21/2009	$1,495.03	IN-PROGRESS
☐	34240	MSII	04/21/2009	$1,658.16	IN-PROGRESS
☐	34241	MSII	04/21/2009	$7,356.09	IN-PROGRESS
☐	34242	MSII	04/21/2009	$4,860.61	IN-PROGRESS
☐	34243	MSII	04/21/2009	$5,775.00	IN-PROGRESS
☐	34244	MSII	04/21/2009	$2,162.23	IN-PROGRESS
☐	34245	MSII	04/21/2009	$6,450.00	IN-PROGRESS
☐	34246	MSII	04/21/2009	$2,306.70	IN-PROGRESS
☐	34278	MSII	04/21/2009	$196.67	UN-APPROVED

- Select the Reassignment Mode
- Select the transfer to be reassigned
- Select the person it should be reassigned to
- Click the Reassign box
- An email message will be sent to the new Preparer of the transfer notifying that he/she has been assigned to a transfer previously prepared by another Preparer.

E. Acknowledgement of a Rejected Transfer

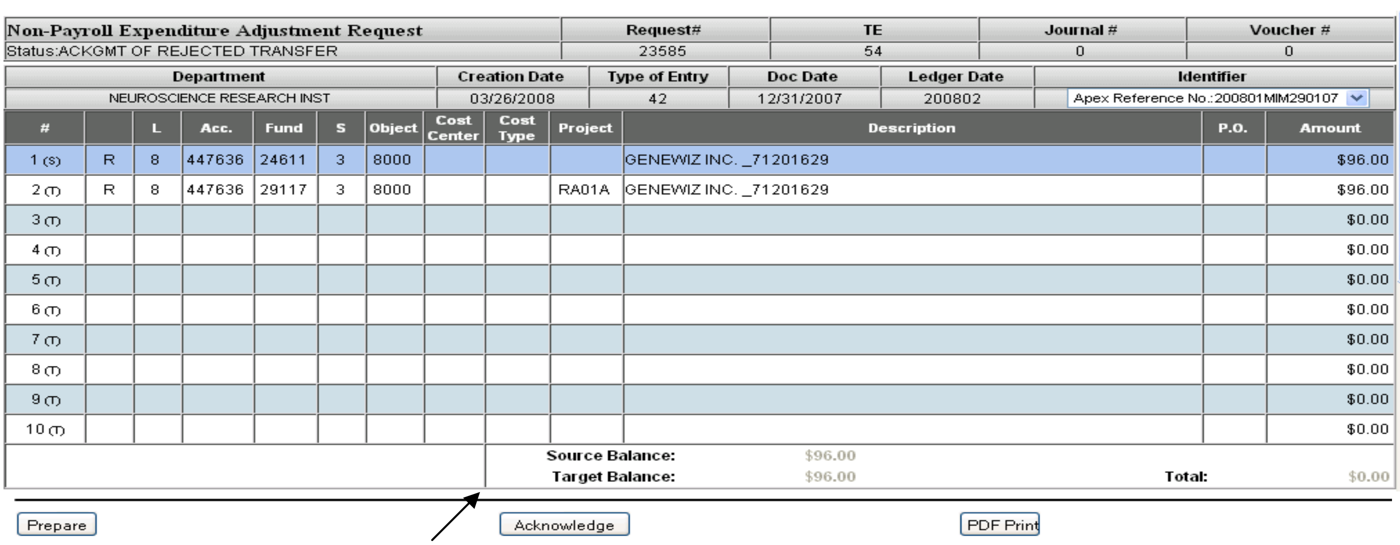
The preparer must acknowledge when a transfer that they have prepared has been rejected.

- Select Acknowledgment of Rejected Transfer in the Transfer Status window.
- Select the transfer that is to be acknowledged and click the view box.



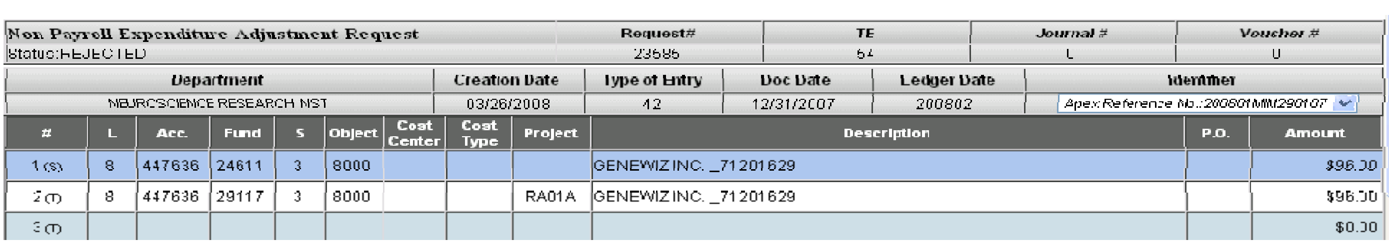
	Request#	Owner Dept	Date	Target Amount	Created By	Status
◉	23585	NRII	03/26/2008	$96.00	Laura Susin	ACKGMT OF REJECTED TRANSFER
○	23587	NRII	03/26/2008	$18.00	Laura Susin	ACKGMT OF REJECTED TRANSFER
○	23588	NRII	03/26/2008	$228.35	Laura Susin	ACKGMT OF REJECTED TRANSFER

- Select the Acknowledge box



#		L	Acc.	Fund	S	Object	Cost Center	Cost Type	Project	Description	P.O.	Amount
1 (S)	R	8	447636	24611	3	8000				GENEWIZ INC. _71201629		$96.00
2 (T)	R	8	447636	29117	3	8000			RA01A	GENEWIZ INC. _71201629		$96.00
3 (T)												$0.00
4 (T)												$0.00
5 (T)												$0.00
6 (T)												$0.00
7 (T)												$0.00
8 (T)												$0.00
9 (T)												$0.00
10 (T)												$0.00

- The status will change from Acknowledgement of Rejected Transfer to Rejected



#	L	Acc.	Fund	S	Object	Cost Center	Cost Type	Project	Description	P.O.	Amount
1 (S)	8	447636	24611	3	8000				GENEWIZ INC. _71201629		$96.00
2 (T)	8	447636	29117	3	8000			RA01A	GENEWIZ INC. _71201629		$96.00
3 (T)											$0.00

F. Statistics

- Statistics allow the user to review the history of all transactions for the fiscal year.
- Click the Statistics button at the bottom of the screen.