Compliance Officer

User Guide for the E-Travel System

If you are a Compliance Officer, you will find in this user guide all the information that you need in order to review all the expenses claims and to be able to issue cash advance once the request are approved.

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HOW TO VERIFY THE COMPLIANCE OF EXPENSES CLAIMS ................................................................. 2
HOW TO ISSUE A CASH ADVANCE ........................................................................................................ 6
COMPLIANCE OFFICER CHECKLIST ...................................................................................................... 8
HOW TO VERIFY THE COMPLIANCE OF EXPENSES CLAIMS

Processing the expense report is the final step before a Completed invoice is pushed to Banner. To process a report:

Login to Concur

Go to Expense → Process Reports:

Click Run Query – Reports Ready for Processing
Review the report following the Compliance Officer Checklist:

Ensure you view all receipts and ensure they are valid:
If there was a cash advance to be returned, ensure to mark it as “Returned”. You should have received a cheque with the amount to be returned with the summary and receipts.

As you will only start this activity once we have received the report summary with attached paper receipts, mark the receipts as received:
Once you are done reviewing this claim, you have a few options:

- **Requires Review**
  Allows you to mark this report as ‘currently being reviewed’. You need to add a comment, and you will be able to return to this report at any time.

- **Send back to User**
  Allows you to return this report to the employee. You must select a reason and add a comment. The Traveller or his delegate will have to correct the report and resubmit the report to the approval process.

- **Send to Approver**
  Allows you to send this report to another person who you think should have been approving this report. You can add a comment if necessary.

- **Approve**
  Once approved, this document will be sent to Banner overnight and you will be able to view the complete invoice the following day if all necessary criteria to automatically create an invoice have been met. (If your invoice is not in Banner the following day, you can contact the system administrator.)

The next morning, write the CE# on the report.

Bring the hard copy to your Banner Approver for approval and filing.
HOW TO ISSUE A CASH ADVANCE

The Cash Advance Admin is the final step before a Completed invoice is pushed to Banner to issue a cash advance to a traveller. Once you have received the e-mailed Request you may check your Cash Advance Admin queue to issue a cash advance:

Once you received the email for the Request to travel, you must verify in Concur in the Admin Tool for Cash Advance Admin to see if the Cash advance is there to be issued.

Some travellers might have forgotten to send you the email; we recommend that you verify your Cash Advance Admin Tool daily. From there, you can print a copy of the Approved Request and use the copy as a backup for the Banner Approval.

Login to Concur

Go to Administration -> Company -> Tools -> Cash Advance Admin:

Under the Employee Balance Tab you may see all of the cash advances and details for employees in your group (org.):
Click the Cash Advances Tab. Here you will see the amount requested and the Status of the Travel Request. Before you issue the cash advance, you must ensure that there is an approved Request:

You can also double-click on the request number if you wish to print this request in order to have a document to submit to your Banner Approver.

If you are satisfied that all is in order, click Issue:

Bring the hard copy to your Banner Approver and remind them to write the CE# on the report prior to filing.
COMPLIANCE OFFICER CHECKLIST

***Make sure you have the Accounts Payable Invoice Entry access in Banner***

☐ For new travellers: Traveller is created as a vendor in Banner

☐ I verified that my Banner ID is on the summary report (My Banner ID), if not, I change it within the Report Header.

☐ I have all the required documents to process the report.

☐ Hard copies of receipts have been received for filing and indicated in Concur

☐ I have access to the FOAP I am Processing for? (My Banner ID can be a Payer for this FOAP)

☐ Proper form is used (e.g. cash advance for travel is created through the Request module and not the Expense module)

☐ Correct Request has been associated (if non-APUO) to the Expense report

☐ Outstanding cash advance has been applied (if applicable)

☐ Personal amounts have been removed from expenses (i.e. alcohol, movies, gym)

☐ Each receipt or missing receipt affidavit matches the expense line item

☐ Receipt dates match the expense line item dates

☐ Correct expense types have been used

☐ If applicable –Policy 60 has been respected for business meals including obtaining the approval of the immediate supervisor.

☐ Missing Receipt Affidavit comments justify reason for missing receipt.

☐ Proper approvals have been obtained: FOAP owner/Fund Manager with signing authority, Immediate Supervisor

☐ Each expense has been indicated “reviewed” in Concur

☐ The Banner invoice number has been recorded (CEXXXXXX) the next day (use Banner screen FOADOCU) and bring package to Banner Approver.