

## Policy 401: Sub-System Interface Control Policy and Procedures

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### Purpose

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To describe the University's policy and procedures related to general ledger sub-system interfaces.

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### Introduction and Background

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There are several different sub-systems that feed into the general ledger system. (See the "[Sub-System Interface Matrix](#)" for a listing of all sub-systems.) Each sub-system creates a file which is then interfaced to the General Ledger (GL). Frequency of these interfaces varies depending on the sub-system. After the interface process, the GL system generates the "Accepted Journals Batch Posted Report" (AJBPR). The AJBPR provides control totals for data actually posted to the GL from the sub-system interface.

The AJBPR also provides useful information for investigating data that posted to suspense from the interface. For details on how to utilize the AJBPR for this process, please see [Appendix A](#).

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### Policy

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Sub-system owners are required to verify that the load file control totals generated by sub-systems agrees to the Accepted Journals Batch Posted Report.

If there are any discrepancies between the general ledger and the respective sub-system, the sub-system owner must report the discrepancy to MIS immediately for corrective action with notification to the Office of Financial Affairs. The sub-system owner is responsible for following up with MIS through final problem resolution.

Departments are responsible for documenting the results of their review, including details of any issues/discrepancies and the steps taken to resolve the problem.

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### Procedures

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#### Summary Steps to Performing Interface Verification Process

- 1) Obtain the "Accepted Journals Batch Posted Report" (AJBPR)
- 2) Compare the debit/credit control totals and the number of transactions on each report
- 3) If there is a discrepancy, follow up with MIS immediately with notification to the Office of Financial Affairs

## Obtain Accepted Journals Batch Posted Report

The AJBPR will be distributed by the Office of Accounting to each system owner. Below is a sample of the summary lines in the AJBPR.

1 = Control Total: Total Debits/Credits

2 = Control Total: Number of Tx Read

	1. Debit Control Total		1. Credit Control Total		2. Number of Transactions Read
OOB		***NET OOB		SUSP TRAN BELOW GENERATED TO BALANCE	
SPS 19999 1970000000 C		.00	512.00	U 092749731 SYSTEM GENERATED	
<hr style="border-top: 1px dashed black;"/>					
ACCEPTED TRANS	742,613.18	742,613.18	NO OF TRNS READ	60,REJ 2,GEN 1,WRITTEN 59	
NET TRANS	.00	.00	EFFECT ON A/L ACCTS	733356.55DR ,I/E 733356.55CR	
<hr style="border-top: 1px dashed black;"/>					

## Compare the debit/credit control totals and number of transactions

To comply with this policy, staff from originating departments (sub-system owners) are required to compare both the Debit/Credit Control Totals and the Number of Transactions Read to their sub-system. In the example above, the sub-system report should show total debits and credits of 742,613.18 and 60 transactions read. Please note that, based on design limitations, not all sub-systems generate control totals that can be compared to the AJBPR. To see which interfaces can be compared, see the "[Sub-System Interface Matrix](#)".

The sub-system owner is responsible for documenting the results of their review. Documentation should include the date, the results of the review and the name of the person conducting the review.

## Resolving Discrepancies

If a discrepancy is noted between the control totals on the AJBPR and the control totals of the respective sub-system, the sub-system owner is responsible for performing the following procedures:

1. Contact the MIS department immediately with notification to the Office of Financial Affairs via email to [ofa@vanderbilt.edu](mailto:ofa@vanderbilt.edu).
2. Follow up with MIS in identifying the cause of the discrepancy and facilitating in its correction until the problem is fully resolved.
3. Keep the Office of Financial Affairs apprised of the status of the problem and its resolution.

4. Document the discrepancy, which should include:
  - ◆ A description of the issue/discrepancy
  - ◆ Date of occurrence
  - ◆ The cause of the discrepancy
  - ◆ The resolution to the problem including actions required to resolve the discrepancy e.g. testing or correcting journal entries
  - ◆ Results of any follow-up reviews specific to ensuring the discrepancy is resolved

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## Related Documents

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[Sub-System Interface Matrix](#)

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## Trustee and Effective Dates

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For continued applicability and updating of this policy and procedure:

Trustee: Matthew McGlasson

Effective: October 2004

Last Revised: January 2006

## Appendix A – Reviewing Suspense Information

In addition to control totals, the Accepted Journals Batch Posted Report (AJBPR) also provides suspense information. This information is useful in investigating data that posted to suspense from the interface.

Below is a sample of the summary lines in the AJBPR.

1 = Suspense Data: Number of Rejects    2 = Suspense Data: Acct/Center Suspense Summary

		2. Acct / Ctr Suspense			1. Number of Rejects		
OOB			***NET OOB	SUSP TRAN BELOW GENERATED TO BALANCE			
SPS 19999	1970000000 C		.00	512.00	U 092749731	SYSTEM GENERATED	
-----							
ACCEPTED TRANS	742,613.18		742,613.18	NO OF TRNS READ	60,REJ	2,GEN	1,WRITTEN 59
NET TRANS	.00		.00	EFFECT ON A/L ACCTS	733356.55DR ,I/E	733356.55CR	
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The Rejects field provides the total number of rejected transactions in the interface batch. The details for these rejects can be found in the body of the report. The Out of Balance Suspense (OOB SPS) line is system-generated and gives the suspense account and cost center, whether the total is a debit or credit, and the total amount that posted to suspense. In the example above, the interface posted 2 rejects totaling a \$512.00 credit to suspense account 19999 in center 1970000000. Debit rejects are shown to the left of the \$512.00 and in this example are zero (as noted by the .00). Suspense items can be dollars or statistics depending on the suspense account to which they are posted. To determine whether the suspense posted is for dollars or statistics, please see the chart below.

<b>Dollars</b>		<b>Statistics</b>	
<u>Center</u>	<u>Account</u>	<u>Center</u>	<u>Account</u>
1970000000	19999	1970000000	99998
1970000000	19997	1040000000	99994
1040000000	19995		