

Yale SCHOOL OF MEDICINE

FIN/FIN - Expense Report Secondary Approval: Deans, Chairs, and Lead Administrators/Senior Directors – Procedure

Responsible Office:	YSM Finance and Administration - Controller's Office
Responsible Official:	Deputy Dean Finance & Administration
Policy Sponsor:	Jessica Caponigro
Document Administrator:	Kelsey Schieren
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3.2 Scope

This document establishes the procedure to be followed by the Yale School of Medicine (YSM) regarding secondary approval of expense reports for Deans, Department Chairs, and Lead Administrators/Senior Directors by the YSM Controller's office.

Procedure Purpose

Authorization and approval are control activities that mitigate the risk of the occurrence of inappropriate transactions and/or non-compliance with University policies and procedures.

Strong internal controls dictate that there is an approval hierarchy in place to ensure that a subordinate is not the only approver of expense reports for Deans, Department Chairs, and Lead Administrators/Senior Directors, as they have fiduciary responsibility of a department's funds.

Definitions

Deans

The Dean is the administrative officer of Yale School of Medicine and is responsible for the organization.

Deputy Deans report to the Dean and are primarily responsible for assisting the Dean in overseeing activities for the School.

The Dean and Deputy Deans are located here: <https://medicine.yale.edu/about/leadership-administration/ysm-dean-deputy-deans/>.

Department Chair

A Department Chair is a faculty member in a given academic department who is appointed by the Yale Corporation upon recommendation of the President after nomination by the Dean.

Yale School of Medicine Department Chairs for both clinical and basic science departments are located here: <https://medicine.yale.edu/about/leadership-administration/department-chairs/>.

Lead Administrator/Senior Director

The Lead Administrator/Senior Director is an individual who is responsible for administrative authority over a department or multiple departments, and they generally report directly to a Department Chair or a

Dean. Lead Administrators/Senior Directors can be found here:
<https://medicine.yale.edu/myysm/people/chair-administrator-assistant/>.

Procedure Sections

1. Submission/Approval

Submission or approval of an expense incurred by a Dean, Department Chair, or Lead Administrators/Senior Director must submit an approval through Workday.

1.1 Lead Administrator/Senior Director, Department Chair, Deputy Dean, Dean, or their delegate submits expense report in Workday.

- a. Cost Center P2P 1k Approver reviews expense report.
- b. If the expense report total is greater than \$500, the highest required Cost Center P2P Approver must submit expense report for a secondary approval by using “Add Approver” function in Workday.
 - i. Under “Add Approver”, select “Cost Center YSM Expense Report Approver”.

Add Approvers

The next step in the process will not happen until the additional approvals are done.

Additional Approvers *

Comment

Approve and Submit

- Search
- Controller
- Cost Center Manager
- Cost Center P2P 10K Approver
- Cost Center P2P 1K Approver
- Cost Center P2P Unlimited Approver
- Cost Center P2P 10K Approver
- Cost Center YSM Expense Report Approver
- Grant Manager
- Manager
- Principal Investigator

- ii. Under “Cost Center YSM Expense Report Approver,” select “Coordinator, Yale School of Medicine Finance” AND “Associate Controller, Yale School of Medicine.”

Add Approvers

The next step in the process will not happen until the additional approvals are done.

Additional Approvers *

- X Caponigro, Jess
- X Giovanelli, Jean M

Search

Comment

← Cost Center YSM Expense Report Approver

- ☐ ANGELINI, MATTHEW EZECHIEL
Financial Assistant | CAU Shared Services
- ☒ Caponigro, Jess
Associate Controller, Yale School of Medicine | Yale School of Medicine - Finance
- ☐ Chentimathur, Monirickal
Lead Financial Assistant, CAU Shared Services | CAU Shared Services
- ☒ Giovanelli, Jean M
Coordinator Yale School of Medicine Finance | CAU Shared Services
- ☐ Hadi, Nasib
Financial Assistant | CAU Shared Services

Approve and Send

- c. Coordinator, Yale School of Medicine Finance reviews the expense report and follows up with the department's business office regarding any outstanding questions.
 - i. Following review, Coordinator, Yale School of Medicine Finance approves in Workday and notifies the Associate Controller, Yale School of Medicine.
- d. Associate Controller, Yale School of Medicine performs a secondary review for compliance with University policy, 3215 PR.02 – Yale Expense Management (PCard and Out-of-Pocket Expenses).
 - i. Upon review completion, Associate Controller, Yale School of Medicine, approves expense report or sends back for more information within Workday.
- e. If approved by Associate Controller, Yale School of Medicine, expense report is closed.
- f. If expense report is sent back, Lead Administrator/Senior Director, Department Chair, Deputy Dean, Dean, or their delegate must resubmit with requested information.

2. Monitoring

The YSM Controller's Office will monitor adherence to this procedure monthly.

- 2.1 The YSM Controller's Office will conduct monthly analysis to determine if expense reports are submitted for secondary approval in accordance with [FIN/FIN – Expense Report Secondary Approval: Deans, Chairs, and Lead Administrators/Senior Directors – Policy](#)

3. Escalation

The escalation process if failure to comply with the procedure is as follows:

- 3.1 If a department does not adhere to this procedure on more than three occasions, the matter will be escalated to the Yale School of Medicine's Deputy Dean of Finance & Administration.

Special Situations & Exceptions

Any exceptions to this policy must be presented to ysmcontroller@yale.edu.

Roles & Responsibilities

Contact Information

Clarification of this policy: *YSM Controller's Office* ysmcontroller@yale.edu

Submission of Expense reports: *Med CAU:* medcentralunit@yale.edu

Related Information

[3215 PR.02 Yale Expense Management \(PCard and Out-of-Pocket Expenses\)](#)

[3301 Travel on University Business](#)

[3302 Business Meals, Entertainment, and Other Social Events](#)

[FIN/FIN – Expense Report Secondary Approval: Deans, Chairs, and Lead Administrators/Senior Directors – Policy](#)

References

Version History

7.2023 New Version

Keywords

expense, report, secondar, approval, policy, deans, department, chairs, lead, administrators

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