PURPOSE

This chapter is intended to provide system users with an understanding of the document tracking processes and procedures within R★STARS. The operating agencies have the option of tracking documents internally if they so choose. If the agencies choose to track documents internally, they must determine the actions to be tracked and maintain the Action Code Profile. This chapter is not intended as a guide to implementing the subsystem or determining which features should be utilized by a given agency. Instead, users of this subsystem should review the R★STARS Reference Manual, Chapter 16 prior to attempting to utilize this subsystem.

The Document Tracking Subsystem serves a key purpose in accounting for the various documents that flow through the manual and automated processes of R★STARS, including identifying the status of documents as they pass through R★STARS (i.e., document received in Claims Division); providing an approval mechanism for certain documents (i.e., purchase and travel vouchers); and identifying the physical location for documents.

17-1 OVERVIEW OF DOCUMENT TRACKING SUBSYSTEM

The R★STARS Document Tracking subsystem provides the ability to control and monitor documents as they flow through the manual and automated processes. Document Tracking identifies the location of a document and tracks its status through the use of action codes, and provides multiple methods of updating the document status.

Document actions can be updated directly through entry on one of the following screens:

- **32 Document Transmittal Maintenance -** assigns a system generated Archive Reference Number for documents transmitted to the control agency

- **35 Batch Tracking -** provides on-line entry of action codes that apply to every tracked document in a batch

- **38 Multiple Document Tracking -** provides on-line entry of actions to update a high volume of documents

- **39 Approvals by Document -** provides the ability to recall and record various actions associated with a document *(Not Used in Oregon at the Present Time)*

- **40 Approval by Transmittal -** provides the ability to recall and record various action codes by Archive Reference Number *(Not Used in Oregon at the Present Time)*

- **500 Batch Header Entry -** provides on-line entry of an action code that is applied to every tracked document in the batch

Some action codes are system generated as a result of add, change, delete, and error correction processing. The system automatically places these action codes on the document. Payment processing updates the Document Tracking Table with action codes to reflect full or partial payment of a document. Transactions in error may update Document Tracking with action codes looked up from the Error Code Profile.

Document Tracking provides a mechanism to require multiple action codes for a specific document type. These actions may result in the final approval of a document or simply passage of the document to the "next stage" in the document tracking process.

The Document Tracking Subsystem is supported by three profiles:

- **33 Document Control Profile -** contains all valid document types that can be used by R★STARS. It identifies which document type is tracked.

- **D66 User Class Profile -** establishes valid Agency and Action Code combinations and ranges that a user is allowed to enter.

- **D44 Action Code Profile -** contains all valid Agency and Action Code combinations.

Four elements are unique to the Document Tracking Subsystem. They are:

- Document Type
- Action Codes
- Archive Reference Number
- Document Agency

Document Type is an element used to group "like" transactions. The Document Type is identified by the first 2 positions of the Document Number. Examples include:

      22 - Purchase Vouchers
      EE - Encumbrance Documents
      PP - Pre-encumbrances

For each Document Type, various processing rules are established, including determining whether the document type is tracked, establishing the required approval actions necessary for final document approval and determining whether document balancing is required.

Action Codes define valid actions that are tracked by the subsystem. Action codes may be restricted as agency use only, central control agency use only or for use by both the agencies and the central control agency.

Example of central agency action codes include:

      000 - Received in Claims Division for first time
      599 - Partial Payment
      600 - Full Payment

The **Archive Reference Number (ARN)** is a system generated number assigned either when documents are transmitted from the transmitting agency to the control agency or when non transmittal (non-payment) documents are entered by the control agency. The purpose of the ARN is to allow transmittal documents to be tracked throughout the transmittal process until final approval or rejection. For non transmittal documents, the ARN acts as a catalog number which is used to file supporting documentation. The ARNs for transmittal and non transmittal documents are determined from different sequence numbers.

Document Agency must be a valid agency in the D02 Agency Profile. The Document agency is used to identify the agency responsible for the document. This agency is sometimes different from the Batch Agency (agency entering the transaction) or Agency whose General Ledger will be affected by the transaction. Document Agency is required for every transaction. However, it defaults in both the on-line and batch environments to the Batch Agency on the detail transaction.

17-2 MAINTAINING DOCUMENT TRACKING PROFILES

Document Tracking uses profiles to define valid action codes, processing rules for each document type, the required approval action codes and individuals authorized to record actions including the final approval of documents. The following profiles are specific to the Document Tracking Subsystem:

- **D44 Action Code Profile -** identifies valid action codes

- **33 Document Control Profile -** establishes processing rules for each document type, including action codes required for each document type

In addition, the following non-Document Tracking profiles are used by Document Tracking:

- **D66 User Class Profile -** identifies action code ranges available to a specific user class

- **96A Security Profile-** provides authority for action codes through the user class, and identifies a default action code agency and default action code to be used for high volume processing

- **D51 Error Code Profile -** establishes those action codes that are generated as a result of errors. An action code is assigned to each error code which relates to a document to be tracked. (This profile also defines all error codes not used by Document Tracking.)

- **D53 Titles Profile -** identifies system generated action codes

- **D54 System Parameters Profile -** identifies values that drive system processes

All of these profiles are centrally maintained except agency specific action codes identified on the D44 Action Code Profile. Document Tracking Profiles are shown in the following pages of this section.

D44 ACTION CODE PROFILE

The D44 Action Code Profile is used to establish and maintain the document actions to be tracked by R★STARS. Coding instructions for this profile are in Chapter 5 of the Data Entry Guide.

```
SD44 VER 2.0                     STATE OF OREGON              05/23/94 02:21 PM
LINK TO:                        ACTION CODE PROFILE                       PROD


                       AGENCY: 100    (MUST BE "000" OR IN D02 AGENCY PROFILE)

                ACTION CODE:

                DESCRIPTION:

                  LEVEL IND:       (B=BATCH, D=DOCUMENT, E=EITHER)

                       TYPE:       (A=AGENCY, B=BOTH, C=CENTRAL)

            NORMAL HOURS STATUS:



                                                     STATUS CODE: A
 EFF START DATE: 05231994    EFF END DATE:        LAST PROC DATE:


 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

33 DOCUMENT CONTROL PROFILE

The 33 Document Control Profile allows the user to identify the required actions for each Document Type, defines the tracking and balancing rules for each Document Type and defines payment tolerance limits, and the threshold amount if a Control Agency action code is entered. This profile provides on-line entry and inquiry of the processing rules for each type of document. Coding instructions for this profile can be found in Chapter 6 of the Data Entry Guide.

```
S033 VER 2.0                     STATE OF OREGON          05/23/94 02:23 PM
LINK TO:                    DOCUMENT CONTROL PROFILE                   PROD



          DOCUMENT TYPE:
           DESCRIPTION:
     BALANCING INDICATOR: Y   (Y/N)
      TRACKING INDICATOR: Y   (Y/N)
    REQ APPROVAL ACTION:


NORMAL HR:

CONTROL AGY:        THRESHOLD AMOUNT:

 LOW NORMAL $ AMT:                         HIGH NORMAL $ AMT:
 TOLERANCE $:          (FORMAT 9999; BLANK MEANS NO CONTROL)
 TOLERANCE %:          (FORMAT 9.99; BLANK MEANS NO CONTROL)
                                                    STATUS CODE: A
 EFF START DATE: 05231994   EFF END DATE:         LAST PROC DATE:


 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

D66 USER CLASS PROFILE MAINTENANCE

The D66 User Class Profile Maintenance identifies action code ranges available to a specific user class. Coding instructions for this profile are in Chapter 4 of the System Management Guide.

```
SD66 VER 2.0                    STATE OF OREGON            08/18/94 08:42 AM
LINK TO:                  USER CLASS PROFILE MAINTENANCE              PROD



            USER CLASS:
                 TITLE:


     I/E (I=INCLUDE,E=EXCLUDE)
     ENTER TRANSACTION CODES SEPARATED WITH EITHER "-" OR ",".

     ENTER ACTION CODES SEPARATED WITH EITHER "-" OR ",".




                                                   STATUS CODE: A
 EFF START DATE: 08181994   EFF END DATE:        LAST PROC DATE:


F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ
CLEAR-EXIT
```

96A SECURITY PROFILE

The 96A Security Profile provides authority for action codes through the user class, and identifies a default action code agency and default action code to be used for high volume processing. Coding instructions for this profile are in Chapter 4 of the System Management Guide.

```
S96A   UC: 10                   STATE OF OREGON             02/27/18 09:13 AM
LINK TO:                        SECURITY PROFILE                         PROD


USER ID/CLASS: AGYUSER  48 AGENCY: 000  NAME: DOE, JANE

 ACCOUNTING TRANS: 2             BATCH EDIT MODE: 2
     RELEASE FLAG: 1        DISBURSEMENT METHOD: 3
     AGENCY GROUP: 00                 WORK HOUR: 0000 2400
  AGENCY RANGE 1: 000 999              WORK DAY: A
  AGENCY RANGE 2: AAA ZZZ            PRINTER ID:
  SECURITY AGENCY: 000         DEFAULT
     SECURITY ORG:         ACTION CODE AGENCY:
     SECURITY ORG:                ACTION CODE:
PRIOR MO POST IND: Y             VIEW TIN INFO: N   (Y/N)
PRIOR YR POST IND: Y            VIEW BANK INFO: N   (Y/N)
    FUND OVERRIDE:        STATEWIDE REPORTING: N   (Y/N)

                                              STATUS CODE: A
 EFF START DATE: 08051994   EFF END DATE:         LAST PROC DATE: 04162013


F1-HELP  F3-DELETE  F5-NEXT  F6-96B  F9-INTERRUPT  F10-SAVE  F11-SAVE/CLEAR
ENTER-INQUIRE  CLEAR-EXIT
```
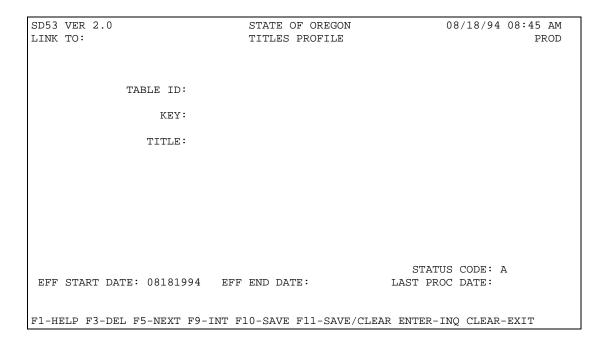
D51 ERROR CODE PROFILE

The D51 Error Code Profile establishes those action codes that are generated as a result of errors. An action code is assigned to each error code which relates to a document to be tracked. (This profile also defines all error codes not used by Document Tracking.). Coding instructions for this profile are in Chapter 5 of the Data Entry Guide.

```
SD51 VER 2.0                 STATE OF OREGON          08/18/94 08:44 AM
LINK TO:                    ERROR CODE PROFILE                    PROD


      ERROR CODE:                 ERROR MESSAGE:



   ERROR SEV IND:            (E=FATAL ELEMENT ERROR, W=NONFATAL ELEMENT ERR,
                              F=FATAL FUND CONTROL,  K=NONFATAL FUND CTL,
                              B=BATCH LEVEL,         J=DEFAULT USED,
                              C=CORRECTION ERROR,    R=REJECT FROM SYSTEM
                              BLANK=OTHER)
         ACTION CODE:

RESPONSIBILITY CODE:

                                               STATUS CODE: A
 EFF START DATE: 08181994   EFF END DATE:       LAST PROC DATE:


F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

D53 TITLES PROFILE

The D53 Titles Profile identifies system generated action codes. Coding instructions for this profile are in Chapter 5 of the Data Entry Guide.

```
SD53 VER 2.0                  STATE OF OREGON         08/18/94 08:45 AM
LINK TO:                      TITLES PROFILE                      PROD


                TABLE ID:

                    KEY:

                  TITLE:






                                                  STATUS CODE: A
 EFF START DATE: 08181994   EFF END DATE:         LAST PROC DATE:


F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

D54 SYSTEM PARAMETERS PROFILE

The D54 System Parameters Profile identifies values that drive system processes. Coding instructions for this profile are in Chapter 2 of the System Management Guide.

```
SD54 VER 2.0                       STATE OF OREGON           08/18/94 08:47 AM
LINK TO:                    SYSTEM PARAMETERS PROFILE                     PROD



               TABLE ID:
                 KEY 1:
                 KEY 2:
                 KEY 3:


                  TITLE:

           REFERENCE DATA:




                                                        STATUS CODE: A
  EFF START DATE: 08181994    EFF END DATE:        LAST PROC DATE:


 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

17-3   TRACKING DOCUMENTS

As discussed in 17-1, the action codes are applied to tracked documents as a result of an automated process. System generated processes that use action codes are:

- **Add** transactions - when a document is added to R★STARS, an "add" action code is added. In addition, an action code is placed on the document header that represents an add transaction as shown below:

     100 - addition action code

- **Change** transactions - when any element is changed on a transaction, the document header is updated with an action code that represents a change transaction as shown below:

     588 - change action code

  Any change in the computed count and amount is also reflected.

- **Delete** transactions - when a transaction is deleted, the document header is updated with an action code that represents a deleted transaction as shown below:

     388 - delete action code

  Any deletion in the computed count and amount is also reflected.

- **Error Correction** transactions - when a transaction fails an edit for which an Action Code is identified, the system updates the Document Tracking record with that Action Code. These Action Codes are added to the error code record in the D51 Error Code Profile.

- full or partial payments

- transactions in error

Transaction entry is slightly different when a document is tracked versus not tracked. Each of the elements affected by document tracking are highlighted on the batch header, and Encumbrance/Pre-Encumbrance/Expenditure Transaction Entry screens shown on the following pages.

The Tracking Indicator in the 33 Document Control Profile is used to identify which specific document types will be tracked. The Balancing Indicator in the 33 Document Control Profile determines whether the document "entered amount" must equal the "computed amount" before final approval can be given for a document.

If the document is being tracked (i.e., Tracking Indicator set to 'Y'), and the balancing indicator is set to 'N', then the document will not be required to be balanced as part of transaction entry before approval. Entry of the "Document Amount" field on the first transaction for the document will not be required.

If a document requires balancing, the Document Amount must be entered on the financial transaction entry screen. The Document Amount must be entered for all document types for which the Tracking Indicator is 'Y' and the Balancing Indicator is "Y" (in the 33 Document Control Profile), meaning that the entered amount of the document must equal the computed amount before final approval is given. The Document Amount is an absolute value or "hash" total.

Whether or not document balancing is required, the Document Count is system generated.

It should be noted that tracked documents must be reversed or adjusted by assigning a new Document Number to the reversing transaction. The Current Document Number used on the original transaction is coded in the Reference Document Number field.

Tracked documents that post to the Document Financial Table must be reversed either with a Transaction Code using a reverse indicator or by using an adjusting/canceling T-Code different from the one that created the document. The T-Code itself will indicate whether it can be reversed or not by having a blank in the RVSE (Reverse) indicator field. The reversing transaction will require a Reference Document Number. The Reference Document Number will be used to post to the Document Financial Table.

The Document Agency identifies the agency responsible for processing the document. Together with the Document Number and Fiscal Year, it makes up the Document ID. The Document Agency appears on all financial transaction entry screens.

The Document Agency is an enterable field. If not entered, the Document Agency will default to the Batch Agency on the detail transaction, which must exist in the D02 Agency Profile.

If documents are tracked, the document is edited for uniqueness. The Document Agency, Document Number, and Fiscal Year may only be associated with one Batch ID (Batch Agency, Batch Date, Batch Type and Batch Number). Therefore, for tracked documents, the Document Number may only be used in one batch.

500 BATCH HEADER ENTRY

```
S500 VER 2.0                    STATE OF OREGON            05/23/94 02:24 PM
LINK TO:                      BATCH HEADER ENTRY                        PROD

          BATCH AGENCY:                   (SIGN ON AGENCY)
            BATCH DATE:                   (MMDDYY, DEFAULTS TO TODAYS DATE)
            BATCH TYPE:
          BATCH NUMBER:

           BATCH COUNT:              BATCH AMOUNT:

       BATCH EDIT MODE: 2             (0=NO EDIT/POST, 1=EDIT, 2=EDIT/POST)
      PAYMENT DIST TYPE:              (MUST BE IN D50 PDT PROFILE)
         DISB METH IND:              (H, M, R, E OR SPACE)
        EFFECTIVE DATE:              (MMDDYY, DEFAULTS TO TODAYS DATE)
            FAST ENTRY:              (M/S/I/ )
               USER ID: AAA084        DAVE NEALON
            USER CLASS: 01
    ACTION CODE AGENCY:
           ACTION CODE:




 F1-HELP     F9-INTERRUPT     F10/F11-SAVE     CLEAR-EXIT
```

On the Batch Header screen, Batch Count and Batch Amount may be used to help verify that transactions were correctly entered into the system. R★STARS will complete these fields at Batch Balancing if the fields are left blank. Entered and Computed Counts/Amounts must equal before a tracked document may be released and approved.

505 PRE-ENC/ENC EXPEND TRANSACTION ENTRY

On the Transaction Entry screen, Document Count and Document Amount may be used to help verify that transactions within a document were correctly entered. Document Amount is required if the Balancing Indicator for the Document Type in the Document Control Profile is 'Y' for Yes. Document Amount is an absolute value. For example, a claim for $350 and a credit memo of $25 would show up as a document amount of $375. The Document Count is system generated. Entered and Computed Amounts must equal before a document can be approved.

```
S505 VER 2.0                  STATE OF OREGON          06/21/94 02:52 PM
LINK TO:            PRE-ENC/ENC/EXPEND TRANSACTION ENTRY   NOTE:    PROD
BATCH: AGENCY     DATE      TYPE   NO    SEQ NO     MODE EDIT AND POST
DOC DATE:          EFF DATE: 062994  DUE DATE:        SERV DATE:
 CUR DOC/SFX:            REF DOC/SFX:          MOD:   AGENCY:
  TRANS CODE:
       INDEX:
         PCA:                                          AY: 95
COMP/AGY OBJ:
     AMOUNT:            RVS:   DISC:            1099:  FO:  PDT:
DOC COUNT:     DOC AMT:              DOC AGY: 000 CI:   PROP #:
    INV NO:             DT:         DESC:
VEND/MC:             NM:
CONT NO:            ADDR 1:
WARR NO:            ADDR 2:
APPN NO:            ADDR 3:
   FUND:            ADDR 4:
GL AC/AGY:          CITY:                      ST:    ZIP:
 GRANT NO/PH:          SUB GRANTEE:            PROJ NO/PH:
 MPCD:           AGY CD-1:     2:     3:       DI:        RTI:


F1-HELP  F3-RTI  F4-EDIT  F6-BALANCING  F7-DETAILS  F9-INTERRUPT  F10-SAVE
F11-SAVE/CLEAR  F12-HEADERS  CLEAR-EXIT
```

35 BATCH TRACKING

The 35 Batch Tracking screen provides the ability to record action codes that are applied to all tracked documents in a batch. The coding instructions for this screen are found on the next page.

```
S035 VER 2.0                    STATE OF OREGON           05/23/94 02:26 PM
LINK TO:                        BATCH TRACKING                          PROD

AGENCY/ACTION CODE:          USER ID:

  BATCH -AGY     DATE     TYPE     NO












F1-HELP       F4-RECALL BATCH                F6-DETAILS        F9-INTERRUPT
F10-SAVE      F11-SAVE/CLEAR    F12-HEADERS   ENTER-INQUIRE     CLEAR-EXIT
```

35 BATCH TRACKING
INPUT CODING INSTRUCTIONS

Data Element

■ **Action Code Agency and Action Code -** Enter a three digit or character AGENCY CODE and a three digit or character ACTION CODE for the agency. When entered the AGENCY and ACTION CODE must be in the D44 Action Code Profile. This combination must fall within the range of (Action Code) Agency and Action Codes and identified by the user's User Class value on the Security record.

The following elements must be a valid batch ID on the Internal Transaction File.

■ **Batch Agency -** Enter a three character BATCH AGENCY code for the batch being approved. The user must be authorized to access the agency associated with the batch.

■ **Batch Date -** Enter a six digit BATCH DATE in MMDDYY format for the batch being approved.

■ **Batch Type -** Enter a one character BATCH TYPE for the batch being approved.

■ **Batch Number -** Enter a three digit BATCH NUMBER for the batch being approved.

38 MULTIPLE DOCUMENT TRACKING

The 38 Multiple Document Tracking screen allows users with security for entry of action codes to update high volumes of nontransmittal documents. Use of this screen for multiple documents minimizes the number of keystrokes required to update documents.

An Archive Reference Number is system generated when nontransmittal documents are entered on this screen. This number identifies where the document is physically stored and number is for informational purposes only. The coding instructions for this screen can be found on the next page.

```
S038 VER 2.0                    STATE OF OREGON            05/23/94 02:27 PM
LINK TO:                  MULTIPLE DOCUMENT TRACKING                    PROD

AGENCY/ACTION CODE:          USER ID:           FY:
        TAPE NO:                       **LAST NUMBER ENTERED**
        AGY   DOC NO   ARCHIVE REF NO   AGY   DOC NO   FY ARCHIVE REF NO

















F1-HELP     F2-RECALL BATCH    F4-RESET     F7-DETAILS     F9-INTERRUPT
F10-SAVE    F12-HEADERS         CLEAR-EXIT
```

38 MULTIPLE DOCUMENT TRACKING
INPUT CODING INSTRUCTIONS

Data Element

■ **Action Code Agency and Action Code -** Enter a three digit or character AGENCY CODE and a three digit or character ACTION CODE for the agency. When entered the AGENCY and ACTION CODE must be in the D44 Action Code Profile. This combination must fall within the range of (Action Code) Agency and Action Codes and identified by the user's User Class value on the Security record. If not entered, the default Action Code and action code agency in the Security Profile is used.

■ **User ID -** This element defaults from the user's sign on. It is a protected field.

■ **FY -** Enter the two digit FISCAL YEAR of the documents to be entered below.

■ **Tape No -** Enter a TAPE NUMBER (up to 8 characters). If numeric with trailing spaces, the number will be right justified and left zero filled after F10 is pressed. This is an optional field.

■ **Agy -** Enter a three character DOCUMENT AGENCY or leave blank. When entered, it must be in the D02 Agency Profile.

■ **Doc No -** Enter an eight digit DOCUMENT NUMBER or leave blank. The first two characters (document type) of the Document Number must exist in the 33 Document Control Profile.

Last Number Entered

■ **Agy, Doc No, FY, Archive Ref No -** These elements are system generated to display the last Agy, Doc No, FY and Archive Ref No entered on the screen before the screen is processed with F10.

39 APPROVALS BY DOCUMENT

(Not Used in Oregon at the Present Time)

The 39 Approvals By Document screen allows the user to view information for a document within a batch of transactions or update the status of a document. Users may only inquire on tracked documents that are still on the Internal Transaction File. The coding instructions for this screen can be found on the next page.

```
S039 VER 2.0                    STATE OF OREGON          05/23/94 02:28 PM
LINK TO:                     APPROVALS BY DOCUMENT                     PROD
                                                                     NOTE:
AGY:    DOC NO:        FY:   AGY/ACTION CODE:      ARCH REF NO:
ENTERED DOC AMT:                   COMPUTED DOC AMT:
BATCH-       AGY:        DATE:          TYPE:     NO:     CT:
S  SEQ  SFX AGY TC   INDEX  PCA  AP NO APFND  AY COBJ     AMOUNT      R   ERRS
   DOC DT  SERV DT    VENDOR NO / MC              VENDOR NAME            TRAN




















F1-HELP  F2-DOC TRK  F4-RECALL BATCH  F5-NEXT REC  F6-DETAILS  F7-PRIOR PAGE
F8-NEXT PAGE  F9-INT  F10-SAVE   F11-SAVE/CLEAR  ENTER-INQUIRE  CLEAR-EXIT
```

39 APPROVALS BY DOCUMENT
INPUT CODING INSTRUCTIONS

(Not Used in Oregon at the Present Time)

Data Element

- **Agency -** Enter a three character DOCUMENT AGENCY code. This is a required field.

- **Doc No -** Enter an eight digit DOCUMENT NUMBER. The first two characters (document type) of the Document Number, if entered, must exist in the 33 Document Control Profile. This field is required.

- **FY -** Enter a two digit FISCAL YEAR of the document or leave blank.

- **Action Code Agency and Action Code -** Enter a three digit or character AGENCY CODE and a three digit or character ACTION CODE for the agency. When entered the ACTION CODE must be in the D44 Action Codes Profile. The Agency must be '000' or in the D02 Agency Profile. The Action Code entered must fall within range of action codes identified in D66 User Class Profile for the user ID attempting to update the document.

- **Archive Reference Number** - The system generated eight character ARCHIVE REFERENCE NUMBER (ARN) was assigned when the document was transmitted. The document is recorded in the Document Transmittal Table by ARN and Document ID.

- **Entered Document Amount -** System generated and displays the document amount entered on the transaction.

- **Computed Document Amount -** System generated and displays the system computed amount for the document.

- **Batch Agy, Date, Batch Type, Batch No -** System generated and displays the Batch ID associated with the document.

- **Count -** System generated and displays the system generated count of transactions for this document.

■ **S -** Enter a character in the SELECTION field and press F2 for the Document Tracking Inquiry Screen, or F4 for Recall Batch Screen, or F6 for View A Batch Screen, or leave blank. One and only one non-blank selector is allowable when one of the Function Keys, F2, F4, or F6 is pressed.

The remaining fields on this screen represent elements entered on the transactions for this document except the Error on Transaction (ERRS TRANS) field. This field is an indicator that tells the user if a transaction contains errors 'Y', has been edited for errors 'U', or does not contains errors '-'.

17-4 REPORTING AND INQUIRY

The reporting features of R★STARS provide on-line inquiries and user-requestable reports to access document tracking information. These features are described below.

User-Requestable Reports

Several reports are generated by R★STARS for monitoring the document status of each document tracked. These reports are requested through the standard "report request" process. For more information see the R★STARS Data Entry Guide, Chapter 10.

Inquiry Screens

The on-line inquiry capabilities of the Document Tracking subsystem include two inquiry screens used to identify the various actions associated with a given document:

- ■ **37 Document Tracking Inquiry -** This screen is used to inquire about all of the actions associated with a given document. The action code, date, time, agency and user identification is posted for each action recorded for a particular document.   This screen provides an inquiry to the history of all actions posted for a document in chronological order (oldest to newest).

- ■ **39 Approvals By Document -** This screen is used to view information for a desired document within a batch of transactions while the transactions are still on-line and to add action codes to the document. *(Not Used in Oregon at the Present Time)*

- ■ **70 Transmittal Inquiry** - Provides the Appropriation Control Officer (ACO) the ability to inquire on transmittal documents that are ready for review. The documents are displayed by ACO number and are flagged when the document has met pre-audit criteria.

Examples of each of these inquiry screens and their respective coding instructions can be found in this chapter. The 37 Document Tracking Inquiry screen and its associated coding instructions are located in this section. The 39 Approvals By Document screen and its associated coding instructions can be found in the previous section of this chapter. The 70 Document Tracking Inquiry and its associated coding instructions can be found in the next section of this chapter.

37 DOCUMENT TRACKING INQUIRY

This screen provides on-line inquiry into the document tracking information associated with a tracked document. To retrieve information about the status of a document using this screen, the Agency, Document Number, and Fiscal Year is required.

This screen uses a selection feature (using F2) which may be used to link to screen 39 Approvals by Document to obtain information about a specific document, including transaction T-Code, Index, PCA, Appropriation Number and Year, Comptroller Object, and payee information, and/or update the document status by entering a new action code. The coding instructions for this screen can be found on the next page.

```
S037 VER 2.0                     STATE OF OREGON              05/23/94 02:30 PM
LINK TO:               DOCUMENT TRACKING INQUIRY         NOTE:      PROD
      AGY:            DOC NO:                  FY:       STATUS:
   TAPE NO:           DOC AMT:                     ARCHIVE REF NO:
BATCH - AGY:            DATE:             TYPE:            NO:
RQ ACT:

COMPUTED COUNT:        COMPUTED AMOUNT:                        CNTL AGY:
 * * * * * * * * * * * * * * *  ACTION HISTORY  * * * * * * * * * * * * * * * *
    DATE      TIME   AGY CODE USER ID      DATE      TIME   AGY CODE USER ID










F1-HELP   F2-DOC APPROVALS   F4-RECALL BATCH   F6-DETAILS   F8-NEXT PAGE
F9-INTERRUPT   F12-HEADERS   ENTER-INQUIRE   CLEAR-EXIT
```

37 DOCUMENT TRACKING INQUIRY
INPUT CODING INSTRUCTIONS

Data Element

- ■ **Agency -** Enter a three character AGENCY code. This is a required field.

- ■ **Doc No -** Enter an eight digit DOCUMENT NUMBER. This is a required field.

- ■ **FY -** Enter the two digit FISCAL YEAR.

The remaining fields on this screen are protected.

The Status Field(s) identifies if the document is final approved 'Y' or not final approved 'N'.

The Note Indicator - By typing 'NOTE' in the "link to" field and pressing the F9 interrupt key, a note may be typed for a particular document. The NOTE indicator identifies whether:
  Y - yes, a note is tied to the document, or
  N - no, note is not tied to the document
  A note cannot be modified after the document is final approved.

The Tape No field will not be used.

The Document Amount (Doc Amt) field displays the entered document amount.

The Archive Ref No field displays the system generated assigned Archive Ref No for this document. This is a protected field.

Batch Agy, Date, Type No fields display the Batch ID associated with this document.

The Req Act field displays the required action codes for this document from the 33 Document Control Profile.

The Date, Time, Agy Code, User ID fields displays the date, time, agency action code, and User ID associated with each action code the document has received.

17-5   TRANSMITTAL MAINTENANCE AND INQUIRY

This section describes the three transmittal processing screens and includes instructions on how to use them.

70 TRANSMITTAL INQUIRY

This screen allows the Appropriation Control Officer (ACO) to select the transmittals that have been through the system audit and are ready for review as indicated by the "Pre-Audit Process Complete" action code attached to the transmittal. The transmittal is created at the transmitting agency through the 32 Document Transmittal Maintenance Screen, and is received at the control agency and sent through system audit by the 40 Approval by Transmittal Screen.

Transmittal Selection:

To determine which transmittals are ready for review, the user inputs the following information and then presses enter:

- ■ **Appn Ctl Officer -** If input, this two character Appropriation Control Officer Identification code will recall from the Document Transmittal Table all of the transmittals from agencies assigned to the ACO. The Appropriation Control Officer Identification Code is attached to the transmittal from the D02 Agency Profile at the time the transmittal is built at the transmitting Agency. If this field is left blank, all available transmittals regardless of the Appropriation Control Officer Identification Code will be displayed.

Data Elements Listed on Screen:

- ■ **Arch Ref No -** The number that uniquely identifies the transmittal and all the documents associated with it.

- ■ **Agency** - The three character Agency Code identifies the transmitting agency responsible for assembling the transmittal.

- ■ **ACO** - Two character Appropriation Control Officer Identification Code (see above) identifies the appropriation control officer responsible for reviewing the transmittal.

- ■ **Post-Audit Flags** - If any of the documents in the transmittal match the selection criteria defined in the Pre-Audit Selection and Sampling Criteria Profile (see Screen D43), flags will appear in the following fields:

Audit - At least one document has been selected for audit.

Exempt Vendor - At least one document meets the exempt vendor criteria and has been selected for audit.

Due Date - At least one document has a due date exceeding the 30 days criteria and has been selected for audit.

Transmittal Review:

If the transmittals available for review are displayed on several screens, the user can navigate between the screens using the function keys F7 and F8 to scroll forward and backward between the screens respectively. To review the documents comprising a transmittal, the user enters an "S" in the select column next to the transmittal and presses F2. The transmittal's documents are recalled on the 40 Approval by Transmittal screen.

When all the documents contained in a transmittal have been approved for payment or rejected (see Approval by Transmittal Screen for a description of this process) the transmittal will no longer appear on the Transmittal Inquiry Screen.

```
S070 VER 2.0                    STATE OF OREGON           05/23/94 02:31 PM
LINK TO:                      TRANSMITTAL INQUIRY                      PROD

APPN CTL OFFICER:                        EXEMPT   DUE
S   ARCHIVE REF NO   AGY   ACO   AUDIT   VENDOR   DATE

















   F1-HELP F2-XMITL APPRVL F7-PRIOR PAGE F8-NEXT PAGE F9-INT ENTER-INQ CLEAR-EXIT
```

32 DOCUMENT TRANSMITTAL MAINTENANCE
INPUT CODING INSTRUCTIONS

The purpose of this screen is to select the documents that are ready to be electronically transmitted to the Comptroller. There are three steps in the transmittal process: select the documents for transmittal, evaluate the selected documents for completeness, and process the transmittal.

Document Selection:

To create a transmittal, this screen accesses the Document Tracking Table to assemble all documents with the last action code of "Ready to Transmit." In addition the user can input the following elements to further define the documents to be included in the transmittal:

■ **Agency -** Enter a three character Agency code which is required. The Agency must exist in the D02 Agency Profile. Only documents pertaining to the agency selected will be displayed.

■ **Printer ID -** Enter a four digit Printer ID which is required, and must be defined in the D63 Device ID Profile, to specify where the cover sheet will be printed. If this field is left blank, the printer will default to the user's security record printer ID.

■ **Doc Type -** The two character Document Type code, if entered, will limit the documents listed on the screen to the selected document type. The Document Type must equal one of the "Document Types to be Included on Transmittals" listed in the D54 System Parameters Profile. If this field is left blank, all the Agency's documents with the last Action Code "Ready to Transmit" will be included on the screen.

■ **User ID -** The User Identification Number (ID), if entered, will limit the documents listed on the screen to only those documents that have that User ID associated with the posting of the "Ready to Transmit" action code. If this field is left blank, all the Agency's documents that are "Ready to Transmit" will be displayed without regard to user ID.

■ **Arch Ref No -** Each new transmittal is automatically assigned a unique Archive Reference Number by the system using the next available number reserved for transmittals on the Archive Reference Number Table. This field is left blank for a new transmittal (the number will be generated by the system) or an existing Archive Reference Number (ARN) can be entered to reprint a transmittal cover sheet. Only documents in the same fiscal year may be transmitted together. Current year documents access the current archive transmittal number in the Archive Reference Number Table to generate and increment the ARN. Prior year documents access the prior archive transmittal number in the Archive Reference Number Table to generate and increment the ARN. If the transmittal contains prior year and current year documents, one ARN will be generated for prior year transmittal documents and one for current year transmittal documents.

Data Elements Listed in Table:

■ **Doc No** - An eight character Document Number assigned during the transaction creating the document, the first two digits represent Document Type.

■ **FY** - Two digit Fiscal Year when document was created.

■ **Payment Amount** - Represents the total net-amount due on the document.

■ **Count** - Represents the system generated count of transactions for this document.

■ **User ID** - Represents the eight character User Identification Number of the user who entered the transaction creating the document.

■ **Vendor Name** - Represents the Vendor Name associated with this document entered on the transaction creating this document.

Document Evaluation:

The system will allow up to 200 documents per transmittal. If more than 200 documents are selected using the criteria described above, the system will start a new record in the transmittal table with a new ARN for the documents in excess of 200. The Document Transmittal Maintenance screen displays up to seven ARNs. A new ARN will automatically generate when either more than 200 documents are transmitted for one ARN, or if the documents transmitted cross fiscal years. If more than seven ARNs are needed, the seventh ARN field will display the word "more". Each screen can only display up to 15 documents; thus, each transmittal can be comprised of a maximum of 14 screens. The Function keys F7 and F8 allow the user to scroll forward and backward between the screens respectively.

- **Select Flag Functions -** In front of each document listed on the Document Transmittal Maintenance screen is a select column to be used in conjunction with the function keys listed at the bottom of the screen. An "S" input into this column selects the document for viewing on the 37 Document Tracking Inquiry (press F2) or the 39 Approval by Document Screen (press F4). Only one "S" may be entered at one time.

- **Deselect Flag Functions -** The agency preparing the Transmittal compares the documents listed on the screen to the paperwork supporting the document. If a document's paperwork is incomplete, the document is de-selected for transmission by entering a "D" into the select column in front of the incomplete document. A "D" in this field will remove the document from the transmittal, preventing the document from being electronically posted to the Document Transmittal Table and being printed on the Transmittal Cover Sheet. The action code of the de-selected document is still "Ready to Transmit."

Document Transmission:

After the user determines that the documents are ready for transmittal, the user presses the F6 key to transmit the documents. To confirm this entry the user presses F6 again to complete the transmission. The system automatically performs the following functions during the transmittal process:

- Posts the transmittal and all the documents included in transmittal to the Document Transmittal Table

- Prints the Transmittal Cover Sheet at the transmitting agency

- Automatically updates the Document Header Profile with the Archive Reference Number

- Looks up the appropriation control officer (ACO)'s two character identification number for the transmitting agency from the Agency Profile (D02) and posts this number to the transmittal's record in the Document Transmittal Table.

- Updates the Document Tracking Record with the "Transmitted" Action Code as defined in the D54 System Parameters Table for each document transmitted.

The Transmittal Cover Sheet:

The first page of the Transmittal Cover Sheet contains the following information:

- **Archive Ref No -** Represents the unique ARN assigned to the transmission. The ARN identifies a group of documents.

- **Total Number of Invoices -** Sums the total number of documents that have been transmitted.

- **Total Amount -** Sums the total net amount of all the documents being transmitted.

- **Date -** Represents the date of the transmission or the date the cover sheet is printed.

- **Time -** Represents the time of the transmission or the date the cover sheet is printed.

- **Agency -** Represents the transmitting agency.

- **Contact Name -** Is the name from the 96A Security Profile record of the user who sent the transmittal.

Below these elements on the first page of the cover sheet is a place for the transmitting agency to write in a submission date, telephone number, authorized signature, and date.

The Transmittal Cover Sheet may be several pages. Each page includes the Transmitting Agency Number, the Archive Reference Number in the title along with the following information for each document:

- **Item Number**
- **Document Number**
- **Document Payment Amount**
- **Vendor Number/Mail Code**
- **Vendor Name**
- **Batch Agency**
- **Batch Type**
- **Batch Number**
- **Batch Date**

If there is no detail to print on the Transmittal Cover Sheet, a message is printed stating this.

The Document Transmittal Maintenance Screen allows the user to recall a previously issued transmittal by entering the transmittal's Archive Reference Number. Only transmittals that have not been received and reviewed by the control agency (determined by the last action code for the first document in the transmittal being 'Transmitted') can be recalled. The Transmittal Cover Sheet for this transmittal can be reprinted by entering a printer number and pressing F12.

```
S032 VER 2.0                    STATE OF OREGON              05/23/94 02:33 PM
LINK TO:                 DOCUMENT TRANSMITTAL MAINTENANCE                 PROD
       DOC AGENCY:    DOC TYPE:    USER ID:        PRINTER ID:
ARCH REF NO:
S  DOC NO  FY  PAYMENT AMOUNT   COUNT USER ID  VENDOR NAME










 F1-HELP  F2-DOC TRACKING   F4-DOC APPROVALS   F6-TRANSMIT   F7-PRIOR PAGE
 F8-NEXT PAGE   F9-INTERRUPT   F12-REPRINT   ENTER-INQUIRE   CLEAR-EXIT
```

40 APPROVAL BY TRANSMITTAL
INPUT CODING INSTRUCTIONS

(Not Used in Oregon at the Present Time)

The purpose of this screen is to recall the documents electronically transmitted from the transmitting agency stored in the Document Transmittal Table and to apply Action Codes to these documents as part of the process of approving these documents for payment.

This screen has several purposes, the first is to receive the transmittal from the transmitting agency and apply the 'Ready for Pre-Audit' Action Code to the documents. The second purpose is for identifying the transmittal documents selected for audit and to approve or reject the entire transmittal or individual documents. Once a document has been either approved for payment or rejected, the Archive Reference Number is automatically removed from the Document Transmittal Table and the transmittal will not appear on this screen or on the 70 Transmittal Inquiry Screen when recalled. The Document Tracking Table is also updated with the action codes posted to the documents.

Receiving the Transmittal

When the Transmittal Cover Sheet (See Screen 32) and the supporting documentation is received from the transmitting agency, the control agency recalls the Transmittal by entering the following information from the Transmittal Cover Sheet:

- **Arch Ref No -** The number that uniquely identifies the transmittal and all the documents associated with the transmittal.

- **Action Code -** Is a three character code defined in the D44 Action Code Profile and if entered defines the global action code to be applied to all documents when the function key F6 is pressed. The 'Ready for Pre-Audit' action code (contained in the System Parameters Profile) will default into this field if the status of the transmittal is 'Transmitted'. The user has the option to enter a new global action code to replace the system generated action code, or the user can blank out this field and apply an individual action code to each document. The action codes entered by the user must be defined in the D44 Action Code Profile and be included on the user's security record.

- **Agency -** Enter a three character security AGENCY code from the user's security record which is required.

Informational Data Elements Listed in Table

- **Doc No** - An eight character Document Number assigned during the transaction creating the document, the first two digits represent Document Type.

- **FY** - Two digit Fiscal Year when document was created.

- **Payment Amount** - Represents the total net-amount due on the document.

- **Count** - Represents the system generated count of transactions for this document.

Audit Section Indicators:

- **Pre Audit** - Prior to being released into the overnight audit selection batch process, the three fields in this area will be blank.

- **Post Audit -** If the document matches any of the selection criteria defined in the Pre-Audit Selection and Sampling Profile (see D43), the document will be selected for audit and the following flags will appear in these fields:

  Audit - 'V' for vendor number or mail code, 'D' for document type, 'P' for payment disbursement type, and '*' for Agency Code, Comptroller Object, Transaction Number, and Appropriation Number.

  Exempt Vendor - A flag appears in this field if one or more of the transactions on the document meet the exempt vendor criteria (the vendor has been designated as tax exempt and as a result does not require vendor tax identification number).

  Due Date - A flag appears in this field if one or more of the transactions on the document exceed the greater than 30 days criteria (if the due date is greater than 30 days from the later of the document's service date or invoice date).

Document Review:

The system will allow up to 200 documents per transmittal. Each screen can only display up to 15 documents so that each transmittal can by comprised of a maximum of 14 screens. The Function keys F7 and F8 allow the user to scroll forward and backward between the screens respectively.

- **S -** In front of each document listed on the Approval by Transmittal screen is a select column to be used in conjunction with the function keys listed at the bottom of the screen. An "S" is input into this field selects the document for viewing on the Approvals by Document Screen 39 (press F2).

■ **AC -** This three character field refers to Action Code. This field is used to enter an individual action code for a document and must be defined in the D44 Action Code Profile and be included on the user's security profile. An action code entered in this field, will exempt this document from the global action code entered into the action code field described above.

Document Approval Pre Audit:

After the control agency receives the physical documentation for the documents included on the transmittal, and determines the documentation to be complete, the F10 key is pressed to begin the pre-audit process. The system automatically updates the Document Tracking record with the system generated global Action Code, 'Ready for Pre-Audit' as defined in the D54 System Parameters Profile. If the documentation is incomplete, a rejection Action Code is entered in the selection column in front of the document which prevents any further processing of the document.

By pressing the F10 key to begin the pre-audit process, the clock is set to track the documents after they have arrived at the control agency, and also releases the non-rejected documents into an overnight batch processing that reviews transmittal documents for pre-audit selection. (See Screen D43 for the Pre-Audit Selection and Sampling Criteria Profile).

Document Approval Post Audit:

During audit selection batch processing, the system updates the action code for all the documents in the transmittal with the 'Pre Audit Process Complete' Action Code as defined in the System Parameters Profile**.** To review the results of the audit selection process, the Appropriation Control Office (ACO) recalls the Approval by Transmittal Screen and selects the documents that have been flagged for audit. The ACO can review document history, as described in the document review section above, and can also review supporting documentation.

When the review process is finished the ACO enters a global 'Approved for Payment' Action Code in the Action Code field in the header to apply the Action Code to all documents that have not received an individual Action Code. An individual Action Code entered next to a specific document overrides any global Action Code entered. The ACO can enter a 'Hold' Action Code (which is an action code that does not result in final approval or rejection) or a rejection Action Code by entering a 'Hold' or the 'Remove From Transmittal' Action Code either in the Action Code field in the header or in the Action Code field in front of the individual document (AC).

Both approved and rejected documents will no longer appear on the this screen and are removed from the Document Transmission Table after processing. When a document has been rejected the supporting documentation is returned to the transmitting agency and the transmitting agency can recall the document. When all the documents have been reviewed by the ACO, and either

approved, rejected or adding a 'hold' action code, the ACO may press F10 to apply the selected
Action Codes to the Documents. The action codes entered by the ACO must be defined in the
D44 Action Code Profile and be included on the ACOs security profile.

```
S040                          STATE OF OREGON              05/23/94 02:34 PM
LINK TO:                   APPROVAL BY TRANSMITTAL                       PROD

ARCHIVE REF NO:          ACTION CODE:      DOC AGY:      EXEMPT  DUE
S   AC   DOC NO    FY   PAYMENT AMOUNT      COUNT  AUDIT  VENDOR  DATE

















   F1-HELP     F2-APPROVALS BY DOC     F7-PRIOR PAGE     F8-NEXT PAGE     F9-INTERRUPT
   F10-SAVE    F11-SAVE/CLEAR          ENTER-INQUIRE     CLEAR-EXIT
```