General Accounting

Training Guide

Version 3.0

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About This Training Guide

Training Guide Description

The General Accounting area in AFIS allows for processing internal accounting transactions and other miscellaneous transactions not processed by other functional areas. This training guide provides an overview of the General Accounting processes, controls, and documents used in AFIS. General Accounting documents are used to:

- Transfer, reimburse, adjust, or correct balances by moving expense, revenue, or balance sheet funds.
- Create year-end adjustments or accruals.
- Record internal transfers between state agencies, often in the form of expense or revenue with cash offsets.

The training guide also covers the decentralized Chart of Accounts (COA) elements that are maintained at the department level and the steps required to create new decentralized COA codes.

Training Guide Objectives

In this training guide, you will:

- Review the navigation of AFIS using tables, documents, and queries
- Examine the General Accounting features and processes
- Identify the General Accounting query pages and their uses
- Identify and create the documents used to process internal transactions
- Manage the Decentralized Chart of Accounts element codes
- Examine Budget Fiscal Year Staging processes
- Identify Batch Job processes and their uses

TERMINOLOGY

Table 1 includes key terms and definitions specific to this guide.

Table 1: Terminology

Term	Description
Accounting Journal	The primary record of all accounting transactions within AFIS.
Accounting Template (ACTPL)	A predefined set of elements that can be inferred to a document accounting line as a soft inference, meaning accounting elements may still be entered on a transaction that are not overwritten by elements defined on the Accounting Template.
AFIS	Stands for Arizona Financial Information System. A web-based application for the State's Financial Management.
Chart of Accounts	An account structure to classify financial information which captures the dimensional structure for documenting and reporting on budget data.
Copy Forward	Feature that enables a user to copy pertinent information from a finalized existing document into a new Document Type whose purpose is to reference or liquidate the source document.
Document	A single form that collects information designed to ease data entry as well as to consolidate pertinent information for approval and query purposes.
Document Template	A template that shares the same structure and data entry fields as a real document, but cannot process data.
Document Transaction	A process used to record financial information and administrative events into AFIS, such as the intent to purchase goods from a specific vendor.
Event Type (ETYP)	Identifies and records the type of financial activity for an accounting line of a document. For all accounting based documents, and certain non-accounting documents, every accounting line must have an Event Type. You can either enter the Event Type or use the default provided by the system.
Function	A predefined set of elements that can be inferred to a document accounting line as a hard inference overwriting any existing accounting elements and unchangeable once inferred.
Intra-Agency	A transaction that takes place within a department it is called an Intra-Agency transaction.
Inter-Agency	A transaction that takes place between departments it is called an Inter-Agency transaction.
Journal	A historical record of processed data that is stored by document in order of processing.
Posting Code (PSCD)	A code associated with instructions that tell AFIS what debits and credits to create against a given budget. Debits and credits post to various accounting journals and ledgers (summaries of journals) for tracking purposes and reporting.

LIST OF ACRONYMS

Table 2 lists the acronyms used in this training guide.

Table 2: List of Acronyms

Acronym	Definition
ABS	Accounting Based Spending
ACTPL	Accounting Template
ACTV	Activity table
APD	Accounting Period
BBALD	Inception-to-Date (ITD) Balance Sheet Detail
BBALFY	Fiscal Year (FY) Balance Sheet Details
BBALS	Inception-to-Date (ITD) Balance Sheet Summary
BFY	Budget Fiscal Year
BSA	Balance Sheet Account
CBALDQ	Cash Balance Detail Query
CBALPQ	Cash Balance Pool Query
CBALSQ	Cash Balance Summary Query
COA	Chart of Accounts
DOBJ	Department Object table
DRSRC	Department Revenue Source table
ERQ	Event Requirements table
ESUM	Expense Summary query page
ETYP	Event Type
FBALDQ	Fund Balance Detail Query
FBALSQ	Fund Balance Summary Query
FUNC	Function table
FUNCINF	Function Inference
FY	Fiscal Year
GAO	General Accounting Office
IET	Internal Exchange Transaction
IETRE	Residual Equity
IETWO	Work Order
IETBS	Balance Sheet
ITEOP	Operating Transfer
IETTRI	Real Estate
IETAT	Automated Transfer (Accounting Template) (Revenue)
IETUT	Use Tax Transfers (Accounting Template) (Revenue)
IPO	Internal Purchase Order
ITA	Internal Transaction Agreement
ITARE	Internal Transaction Agreement - Residual Equity
ITAOP	Internal Transaction Agreement - Operating Transfer
ITATRI	Internal Transaction Agreement - Real Estate
ITABS	Internal Transaction Agreement - Balance Sheet
ITAWO	Internal Transaction Agreement - Work Order

Acronym	Definition
ITD	Inception-to-Date
ITI	Internal Transaction Initiator
ITIRE	Internal Transaction Initiator - Residual Equity
ITIOP	Internal Transaction Initiator - Operating Transfer
ITITRI	Internal Transaction Initiator - Real Estate
ITIBS	Internal Transaction Initiator - Balance Sheet
ITIDT	Internal Transaction Initiator - Department of Transportation (copy forward to ITA)
IDIAD	Internal Transaction Initiator - Department of Administration (copy forward to ITA)
ITIWO	Internal Transaction Initiator - Work Order
JBUD	Budget Journal
JCASH	Cash Journal
JACTG	Accounting Journal
JV	Journal Voucher
JVA	Advanced Journal Voucher
LOC	Location table
PSCD	Posting Code
TASK	Task table

1. NAVIGATION REFRESHER

Learning Objectives

In this lesson, you will:

- Review the basic access and navigation of a reference table using Page Search
- Review the basic access and navigation of a document using the Document Catalog
- Review the basic access and navigation of a query page using the Jump to command

Lesson Overview

As with any software, it is important that users understand how to navigate through various menus and features in order to complete tasks efficiently and accurately. AFIS uses a Web interface to display the types of application pages used to process financial information. This lesson reviews the navigation of AFIS as it pertains to General Accounting processes by looking at reference tables, documents and queries used throughout this training guide. Understanding how to use these three types of pages is important, because it makes it easier for users to search for a particular type of page and navigate between them. Pages are referred to in two different ways, the Page Description and the Page Code. AFIS uses a Web interface to display the types of application pages, which are described below.

1.1. Navigation Review: Reference Table

Reference tables are used to store information within the system. The information in some of these reference tables can be created and modified by anyone with the required security permissions. All reference tables can be accessed via the Jump to command in the Primary Navigation Panel or Page Search in the Secondary Navigation Panel. This topic examines the process of accessing the Function (FUNC) reference table.

ACTIVITY 1.1
Navigate to the Function Reference Table

Scenario

You want to review the navigation features in AFIS. Use Page Search to locate the Function (FUNC) reference table.

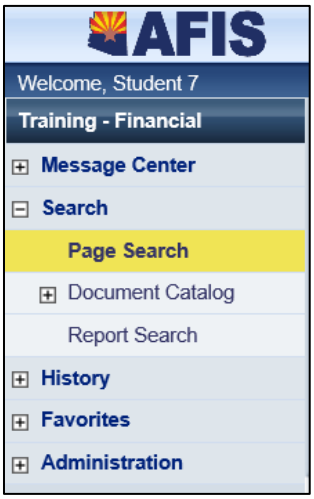
Setup

✓ User is logged into the AFIS Home Page.

Steps

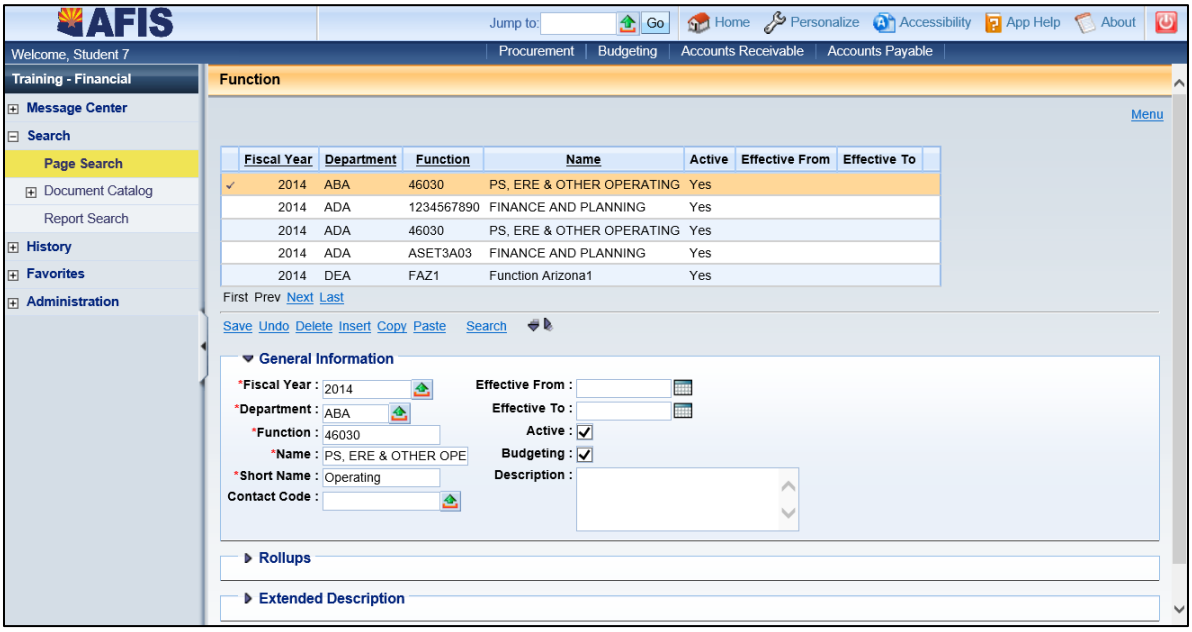
A. Navigate using Page Search.

1. In the Secondary Navigation Panel on the left, click **Search**.



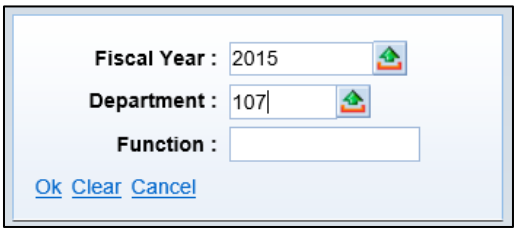
2. Click **Page Search**.
3. In the **Page Code** field, type ***FUNC***.
4. Click **Browse**.

5. In the list of reference tables that appears below the search fields, click the **Function** link.



B. Navigate using the Search tool within a table.

1. Click the **Search link that is below the reference table**.
2. In the Search window, in the **Fiscal Year** field, enter ***the current fiscal year***.
3. In the **Department** field, enter the data from ***your student data card***.

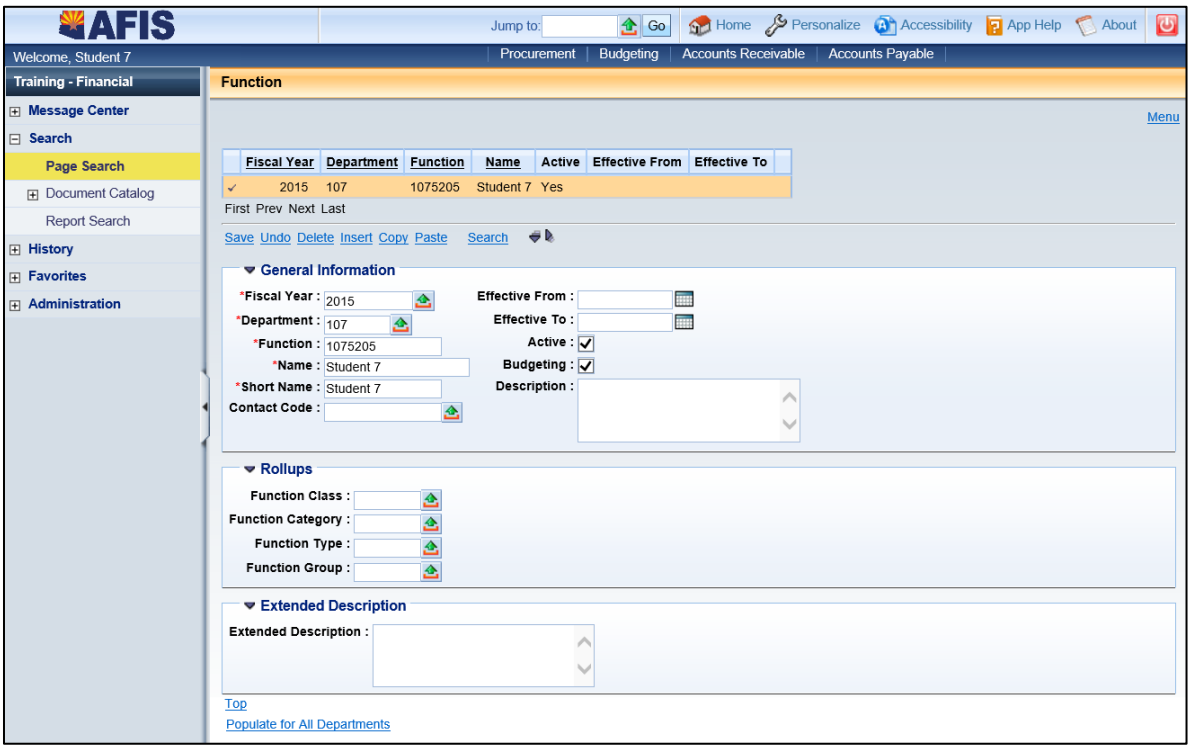


4. Click **Ok**.

C. Explore the Function table.

1. Select the line for the Function in the grid. The scalar shows the details of the selected Function code.
2. In the scalar, click **Rollups** to expand the section.

3. Click **Extended Description** to expand the section.



4. Click **Home** in the Primary Navigation Panel to return to the Home Page.

1.2. Navigation Review: Document

The information stored in reference tables gets updated by documents. Some documents update the information on multiple tables. The Document Catalog is used to create documents and to search for documents based on Code, Department, Unit, or ID. It can also be searched by User Information using User ID (created by) and Date (created on) fields, as well as by Document State using Function, Phase or Status fields. This topic will review the process of using the Document Catalog to locate an Internal Exchange Transaction (IET) document.

ACTIVITY 1.2

Navigate to an Internal Exchange Transaction Document

Scenario

You want to review the navigation features in AFIS. Use the Document Catalog to find an Internal Exchange Transaction (IET) document.

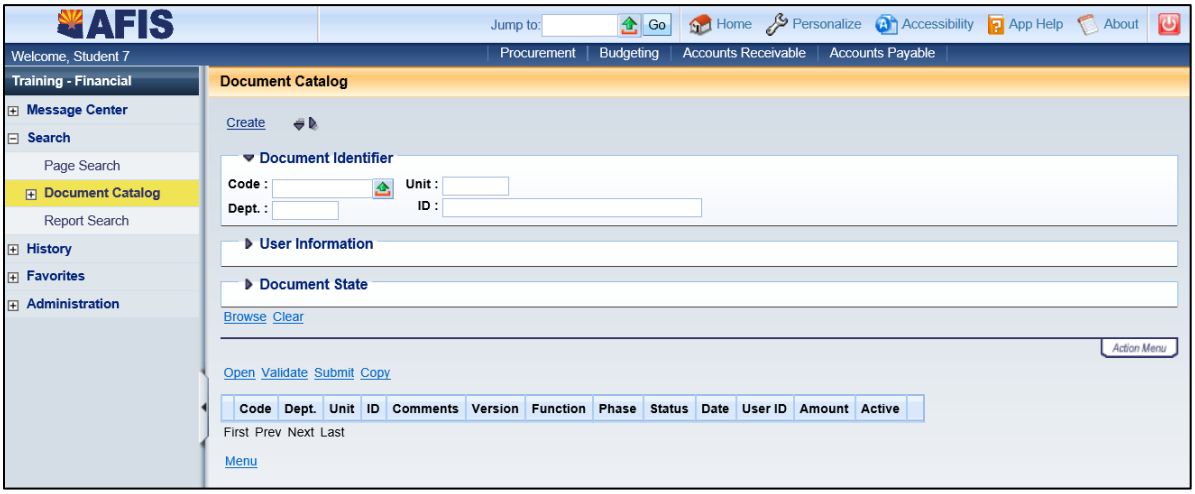
Setup

✓ User is logged into the AFIS Home Page.

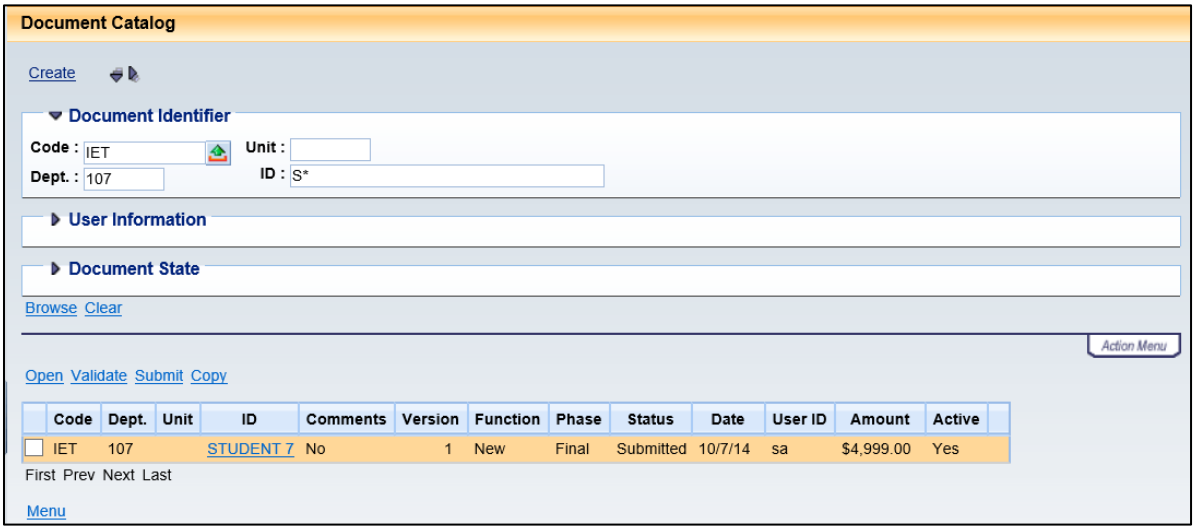
Steps

A. Navigate using the Document Catalog.

1. From the Secondary Navigation Panel on the left, click **Search**.
2. Click **Document Catalog**.



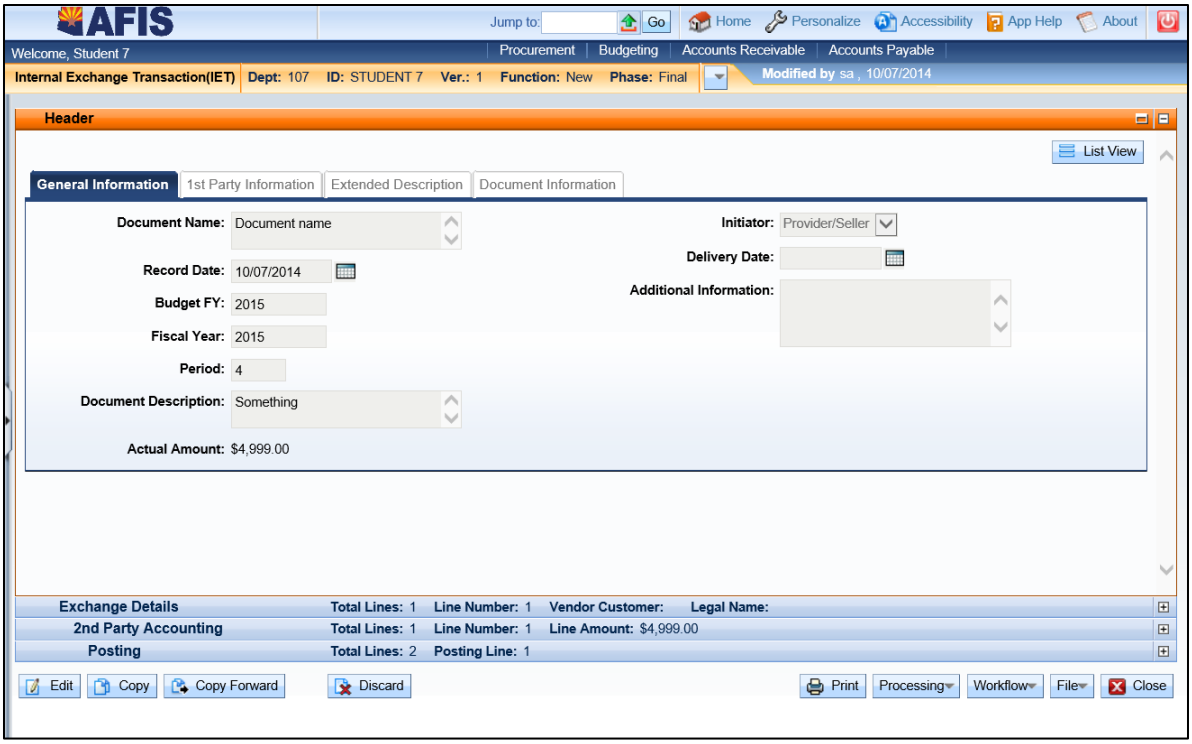
3. In the **Code** field, enter ***IET***.
4. In the **Dept**. field, enter the data from ***your student data card***.
5. In the **ID** field, enter **S***.
6. Click **Browse**.



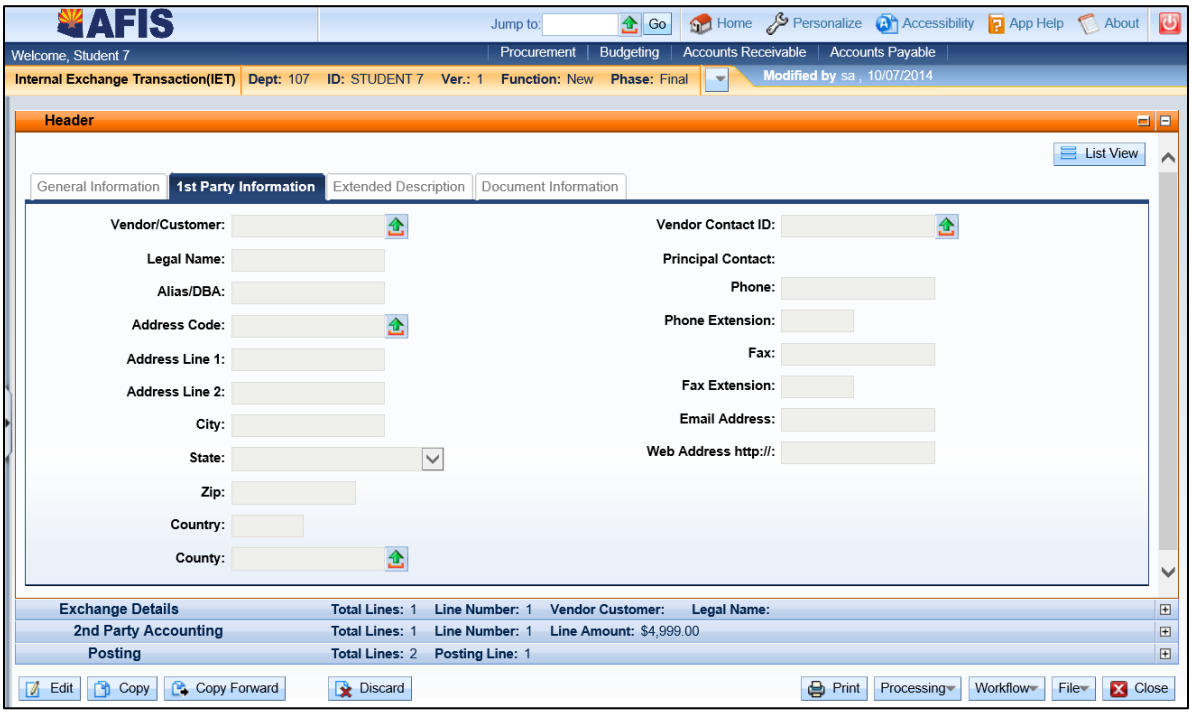
7. In the list of documents, in the first row, click the **ID** link for the document.

B. Explore the Internal Exchange Transaction document Header component.

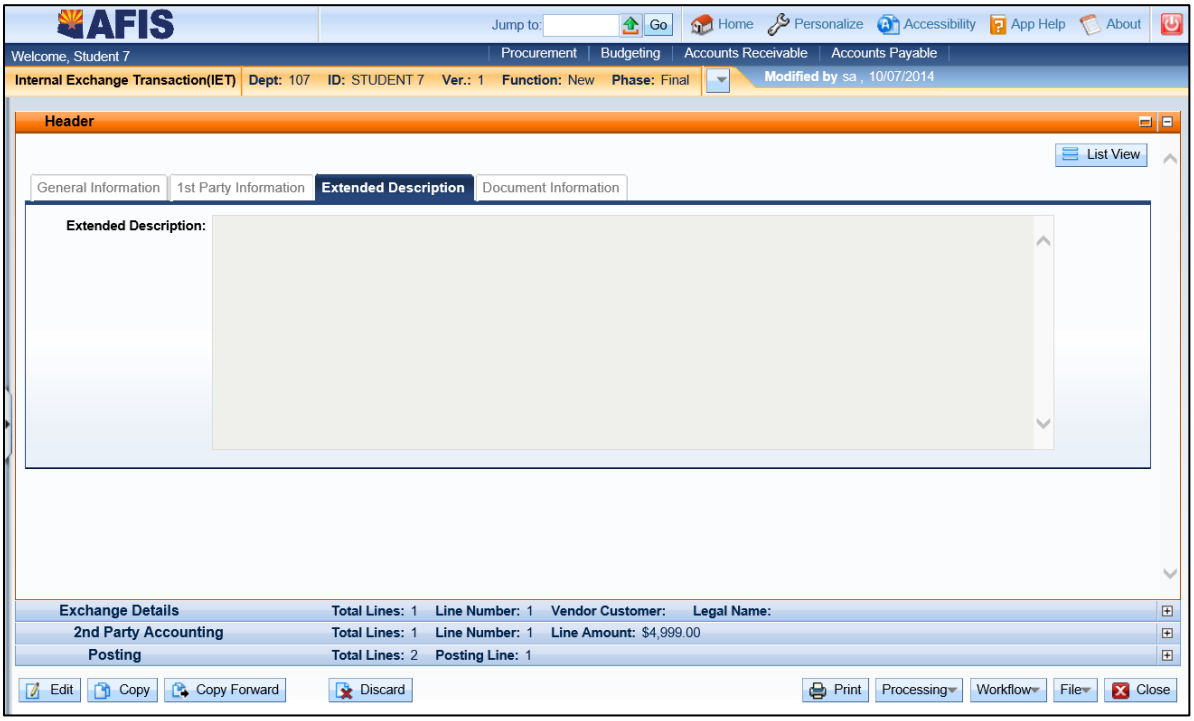
1. Observe the fields on the **General Information** tab.



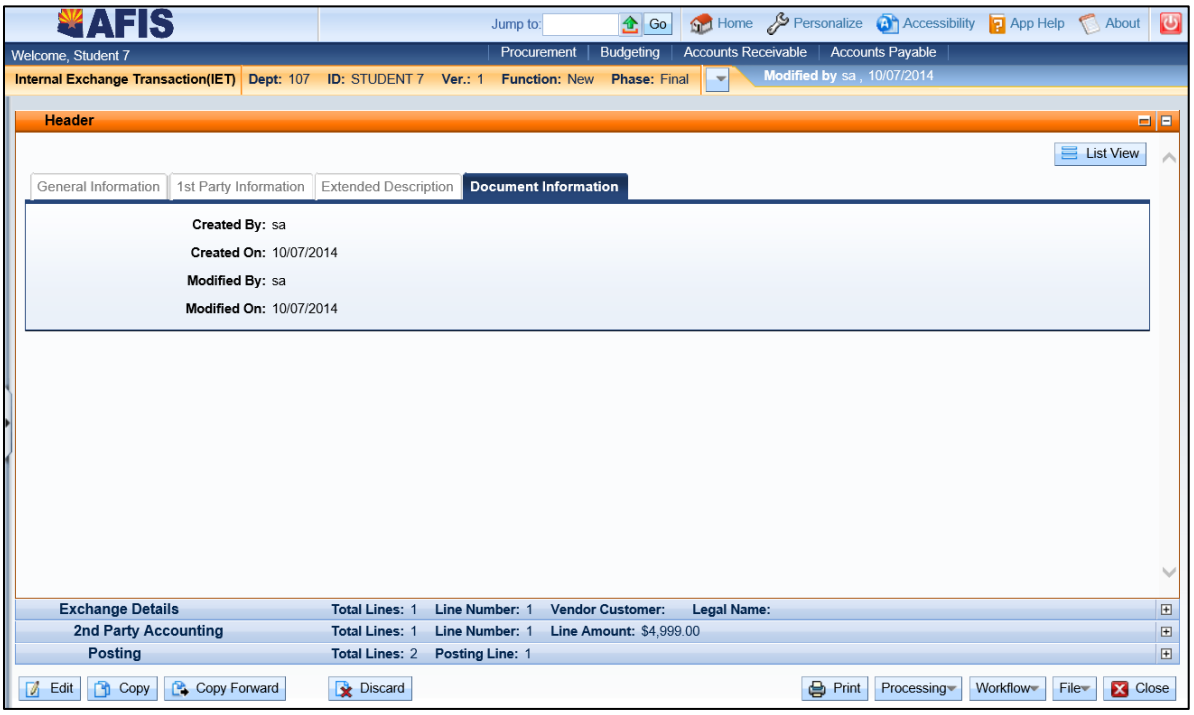
2. Click the **1st Party Information** tab.



3. Click the **Extended Description** tab.

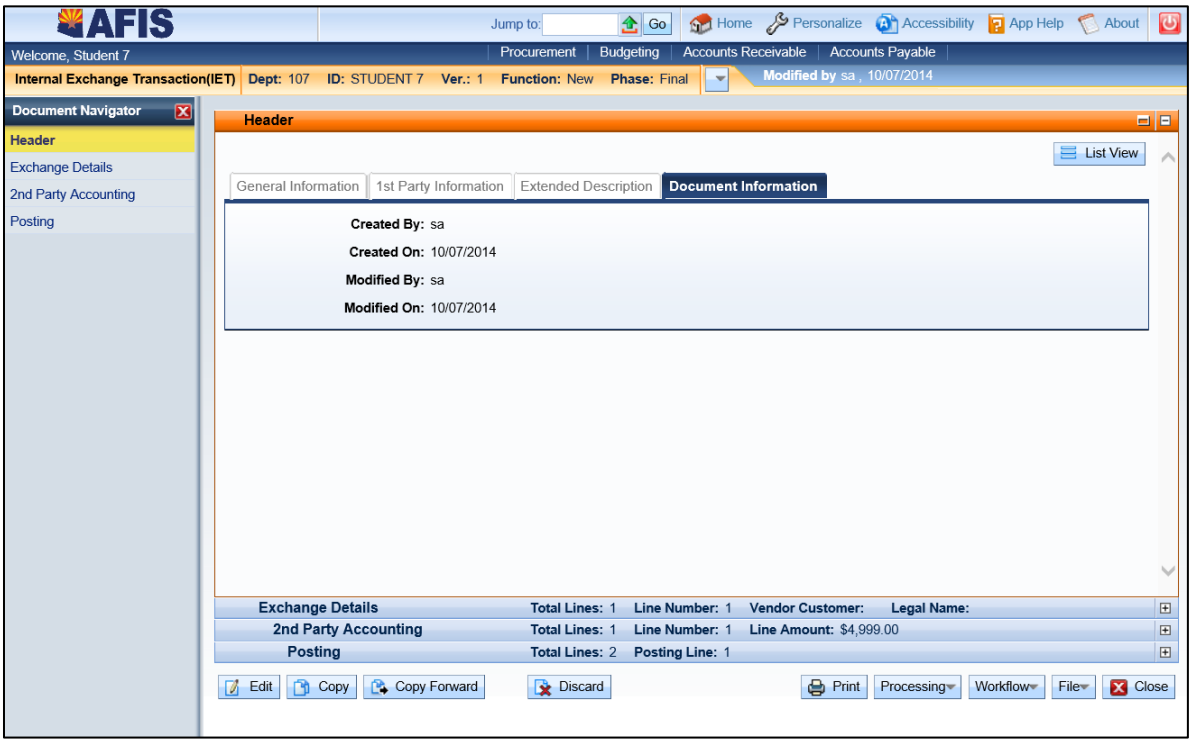


4. Click the **Document Information** tab.

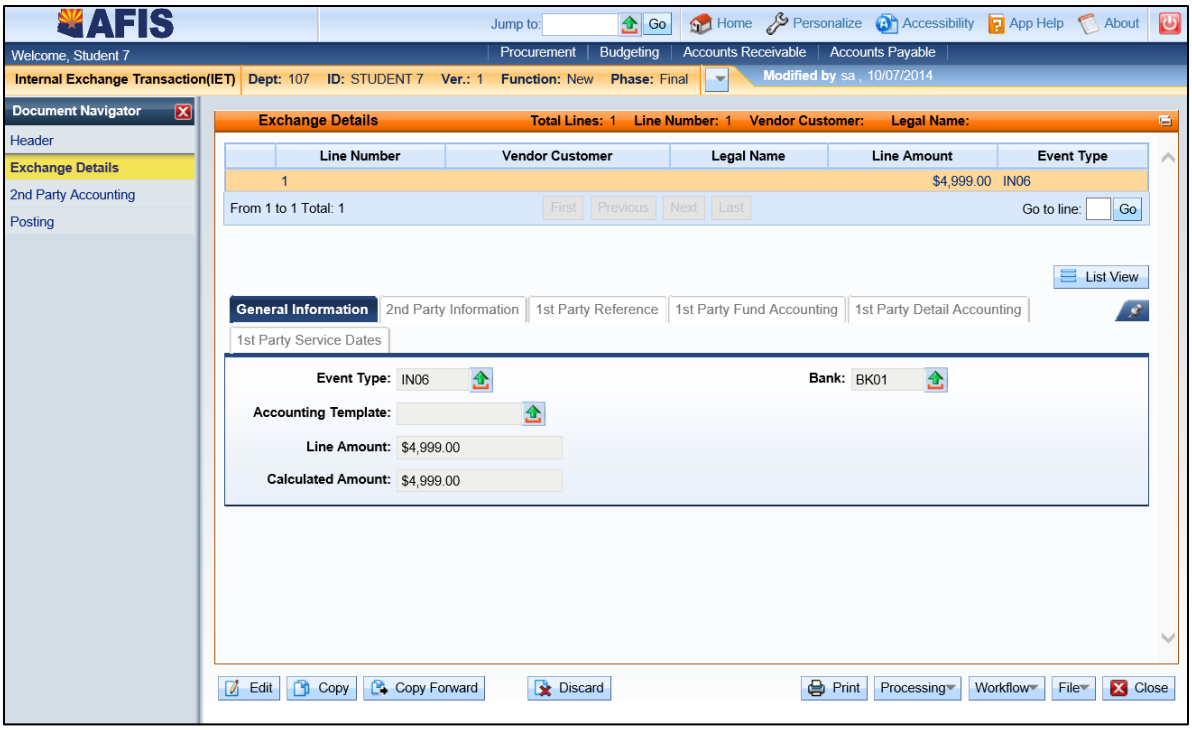


C. Explore the other components of the document.

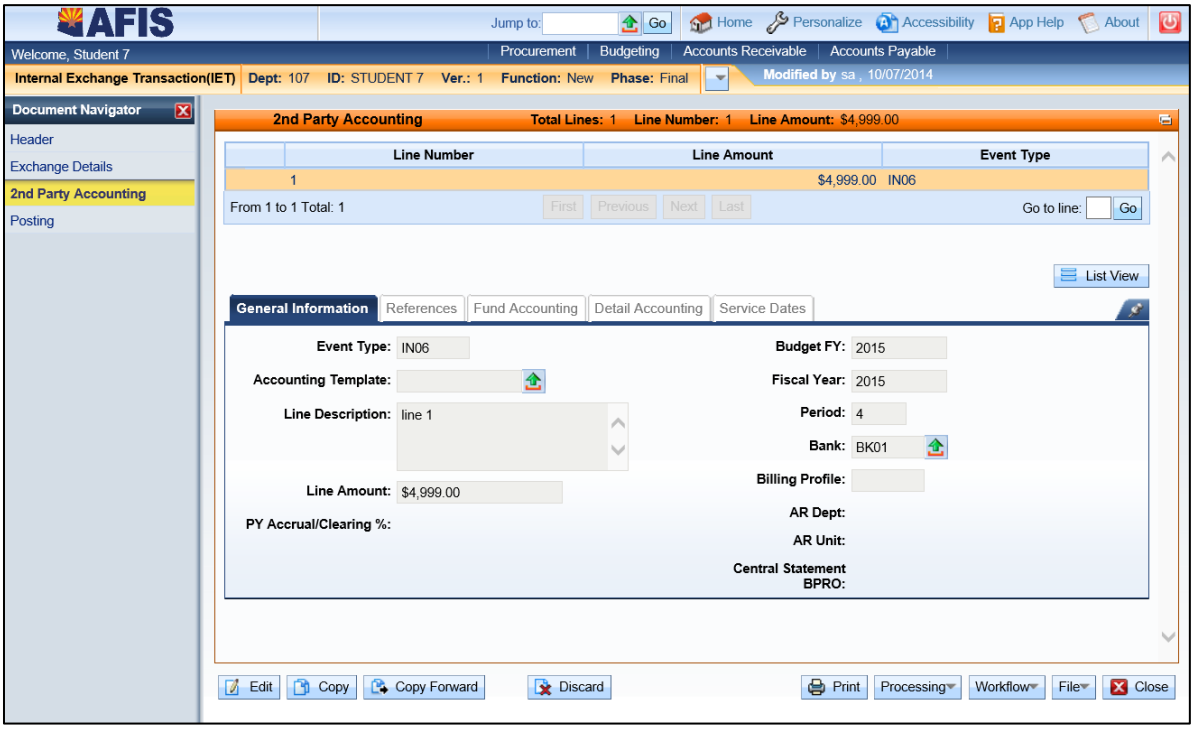
1. Click the **Open Document Navigator** arrow on the left of the screen to open the Document Navigator Panel.



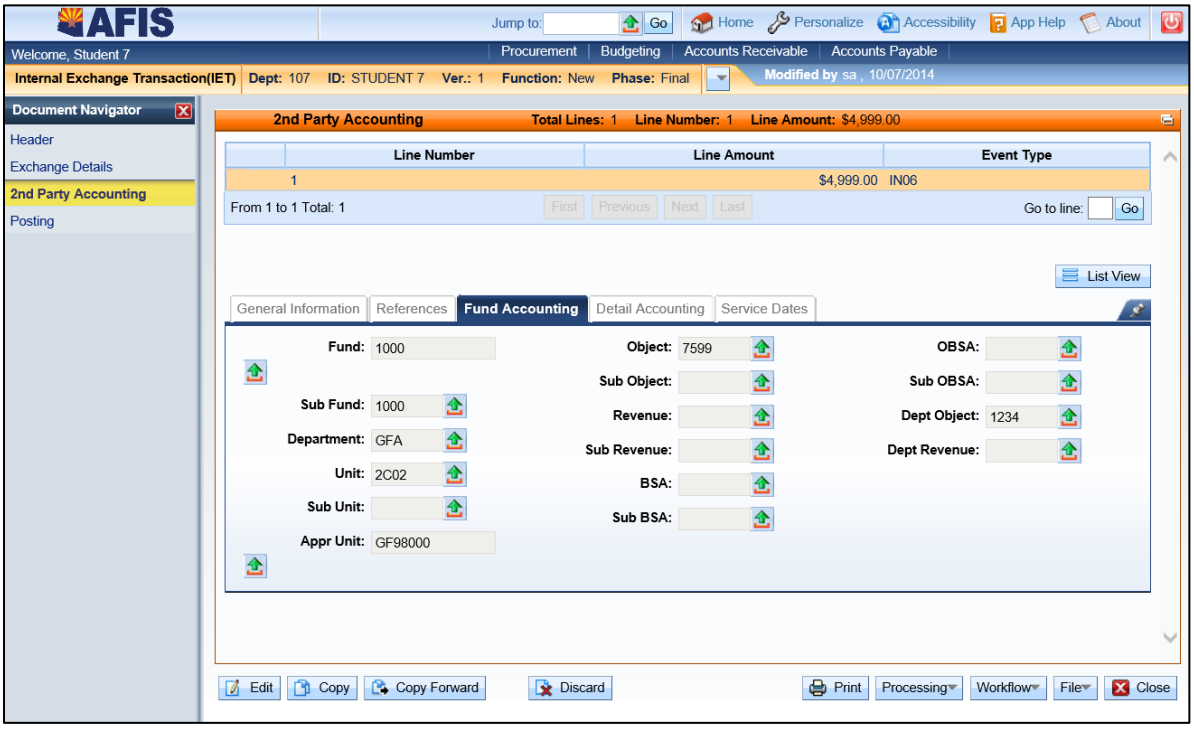
2. Click **Exchange Details** in the Document Navigator Panel.
3. Observe the **General Information** tab.



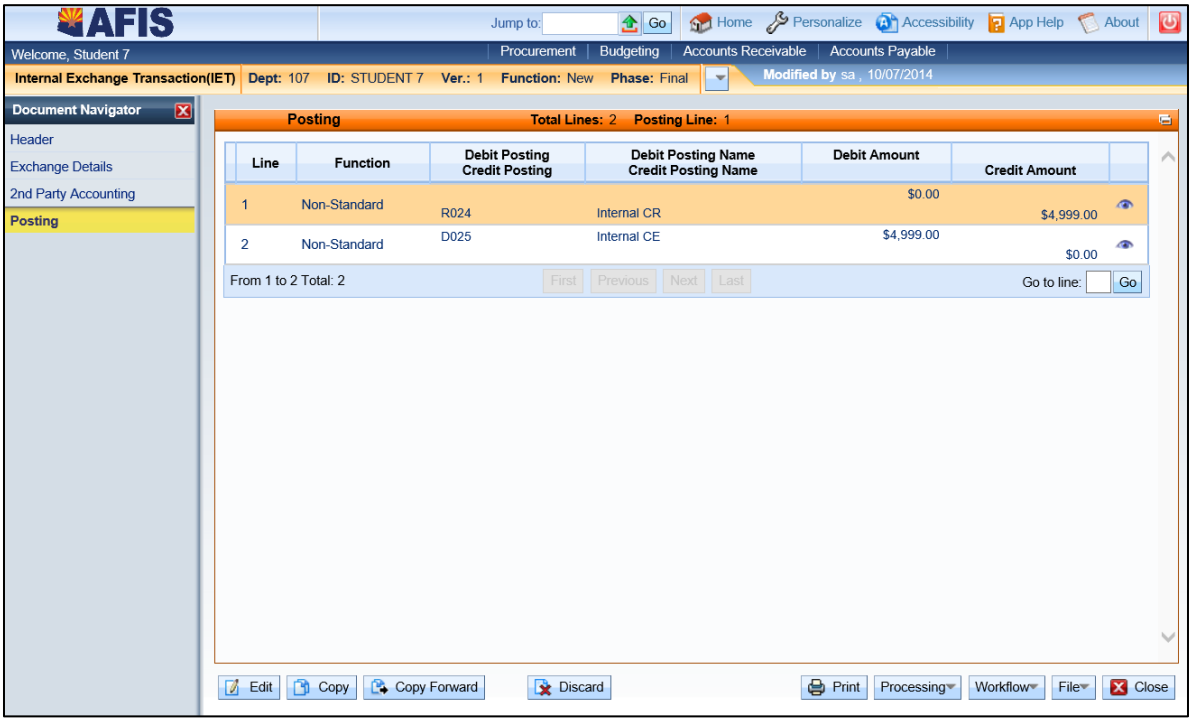
4. In the Document Navigator Panel, click **2nd Party Accounting**.



5. In the 2nd Party Accounting component, click the **Fund Accounting** tab.



6. In the Document Navigator Panel, click **Posting**.



D. Close out of the document.

1. Click the **Close** button at the bottom right corner of the document to return to the Document Catalog.
2. Click **Home** in the Primary Navigation Panel to return to the Home Page.

1.3. Navigation Review: Query Page

The information updated by documents can be looked up by performing a query and certain tables are designed for this purpose. For example, balance information can be looked up on the Cash Balance Detail Query (CBALDQ) page. Tables and queries can be accessed by using the Jump to command in the Primary Navigation Panel. The Cash Balance Detail Query page lists Funds along with their Cash Balance, Adjusted Cash Balance, and their Available Cash Balance amounts. Drill Down (magnifying glass) buttons on the CBALDQ provide users the ability to do further research and find documents that have impacted the numbers on the query page.

ACTIVITY 1.3

Navigate to the Cash Balance Detail Query Page

Scenario

You want to review the navigation features in AFIS. Use the Jump to command to navigate to the Cash Balance Detail Query (CBALDQ) page.

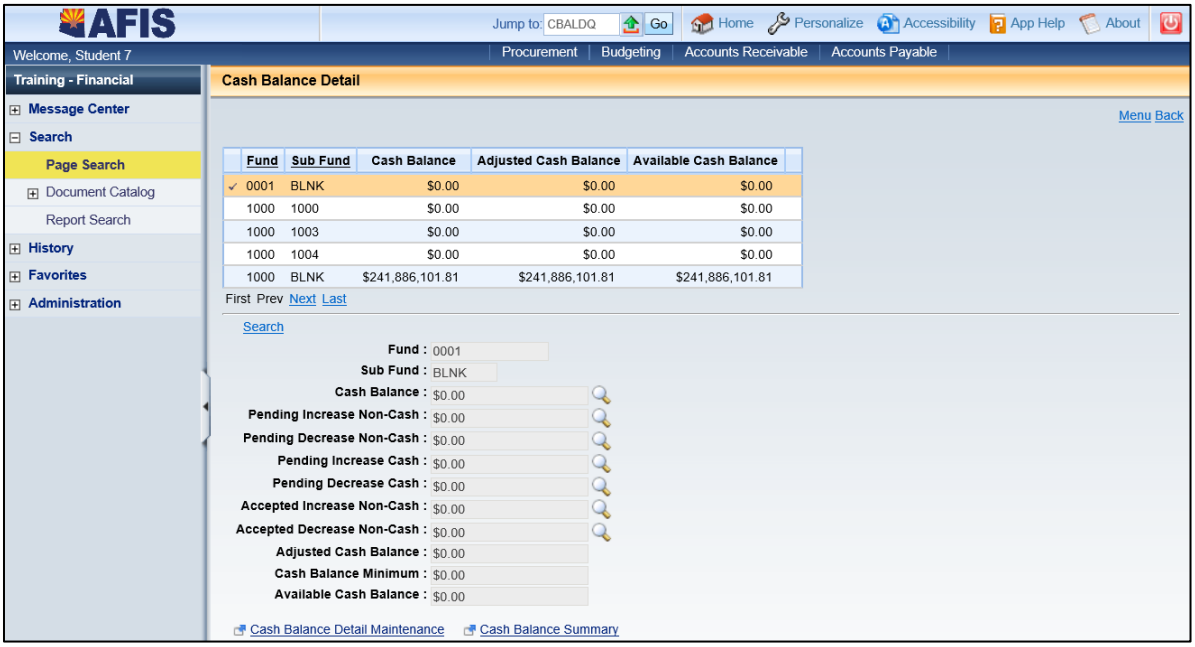
Setup

✓ User is logged into the AFIS Home Page.

Steps

A. Navigate using the Jump to command.

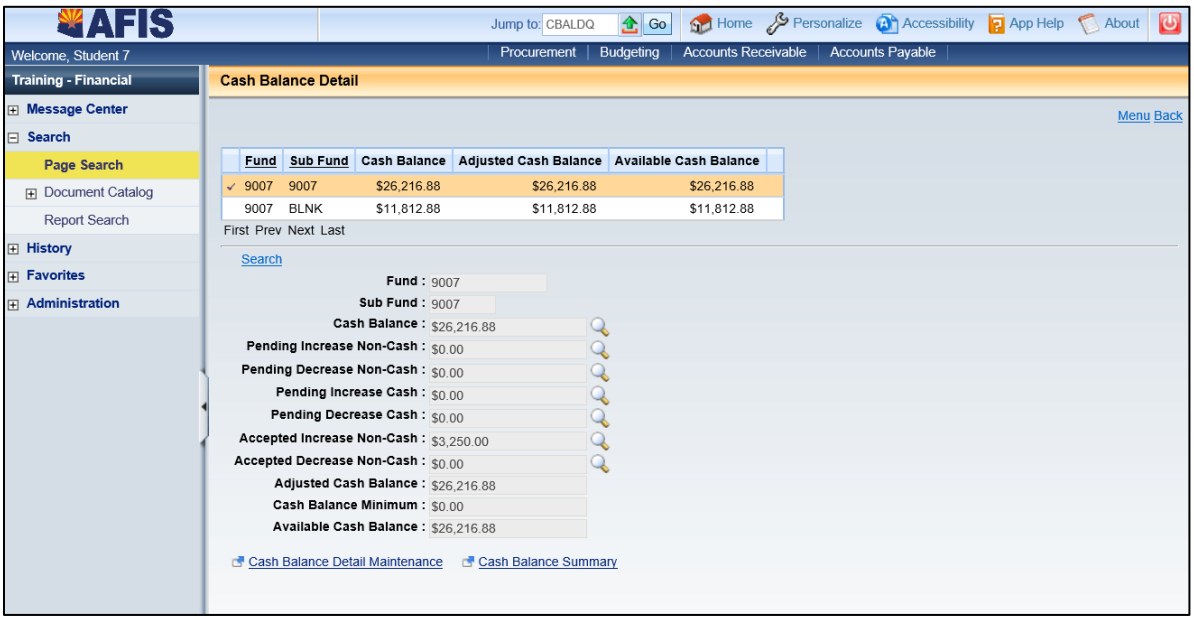
1. In the Primary Navigation Panel, in the **Jump to** field, enter ***CBALDQ***.
2. Click **Go**. The Cash Balance Detail query page opens.



B. Locate a Fund using the Search window.

1. Click the **Search** link that is below the reference table.
2. In the Search window, in the **Fund** field, enter the data from ***your student data card***.

3. Click **Ok**.



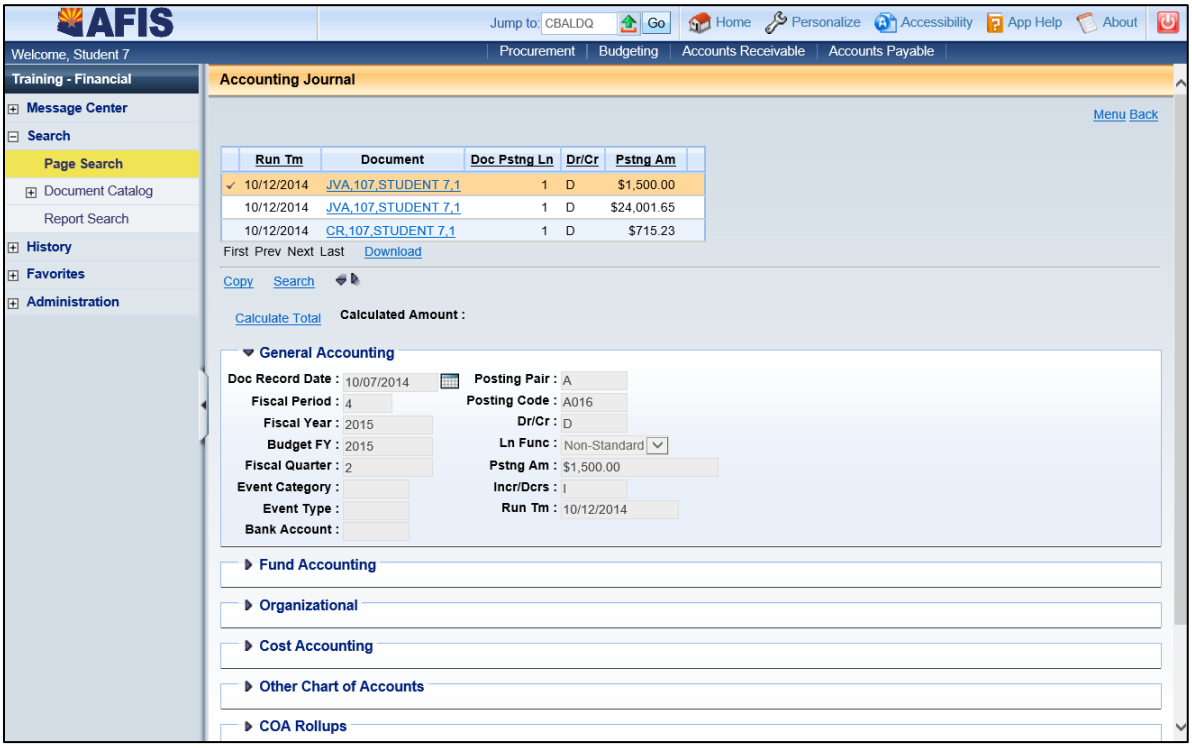
C. Observe the cash balance information for the selected Fund.

1. Observe the information on the Cash Balance Detail Query for the selected Fund and Sub Fund.
2. Click the **Cash Balance Summary** link.

3. Observe the summary information for the Fund.
4. Click the **Cash Balance Detail** link.

D. Research one of the balance fields on the query page.

1. On the Cash Balance Detail page, next to the Cash Balance field, click the **Drill Down** button (magnifying glass).



2. Observe the Accounting Journal list of documents that impact the Cash Balance field for the selected Fund.
3. Click **Back** in the upper right hand corner.
4. Click **Home** in the Primary Navigation Panel to return to the Home Page.

Lesson Summary

This lesson reviewed the basic navigation tools and methods that will be used throughout this course. The Jump to feature can be used to go right to a certain page or table. The Page Search and Document Catalog can also be used to search for a specific table or document within the system.

2. INTRODUCTION TO GENERAL ACCOUNTING

Learning Objectives

In this lesson, you will:

- Identify the tables and types of information used in General Accounting
- Review the use of Accounting Templates and Functions in data entry

Lesson Overview

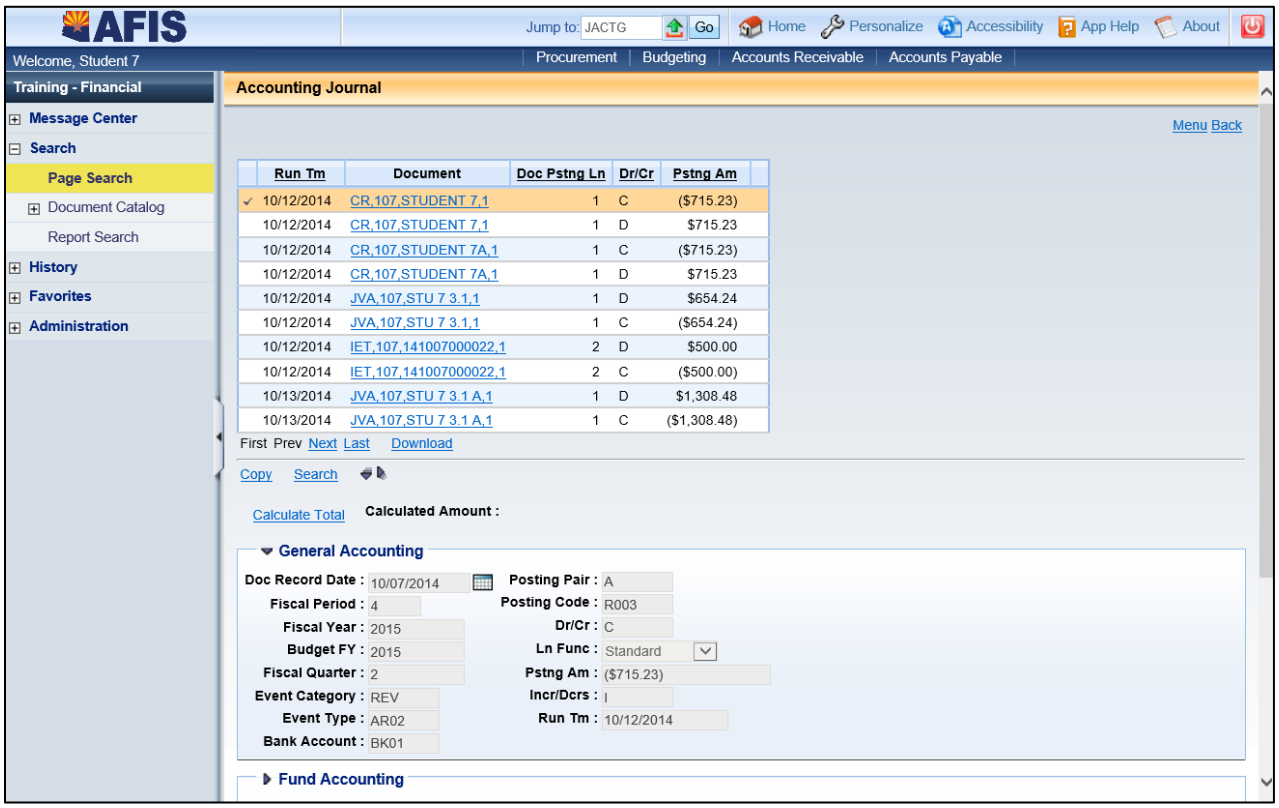
General Accounting focuses on processing internal accounting transactions and other miscellaneous transactions that are not processed by other functional business areas. AFIS records all transactions by creating, submitting and approving documents. Once documents are submitted and approved, they update tables and query pages. Accounting Templates and Functions are features of AFIS that improve document data entry consistency and efficiency.

2.1. Journal Postings

Journals record all accounting transactions that are posted within AFIS. The Accounting Journal (JACTG) is the primary record of all accounting transactions within AFIS. Additional journals exist as subsets of the Accounting Journal and have certain types of accounting transactions that post to them. These additional journals, such as the Cash Journal (JCASH) and Budget Journal (JBUD), allow for smaller subsets of accounting data to be used in relevant queries and reports. Journal posting is driven by the transaction event type, posting codes, and document status.

Accounting Journal (JACTG)

Users have access to the Accounting Journal (JACTG) to query accounting transactions created in AFIS. To query the Accounting Journal, enter search criteria to limit the debit/credit lines returned. Records returned from a user search can be added together using the Calculate Total link. This will provide the total for all of the Posting Amounts for all documents returned by the search filters.



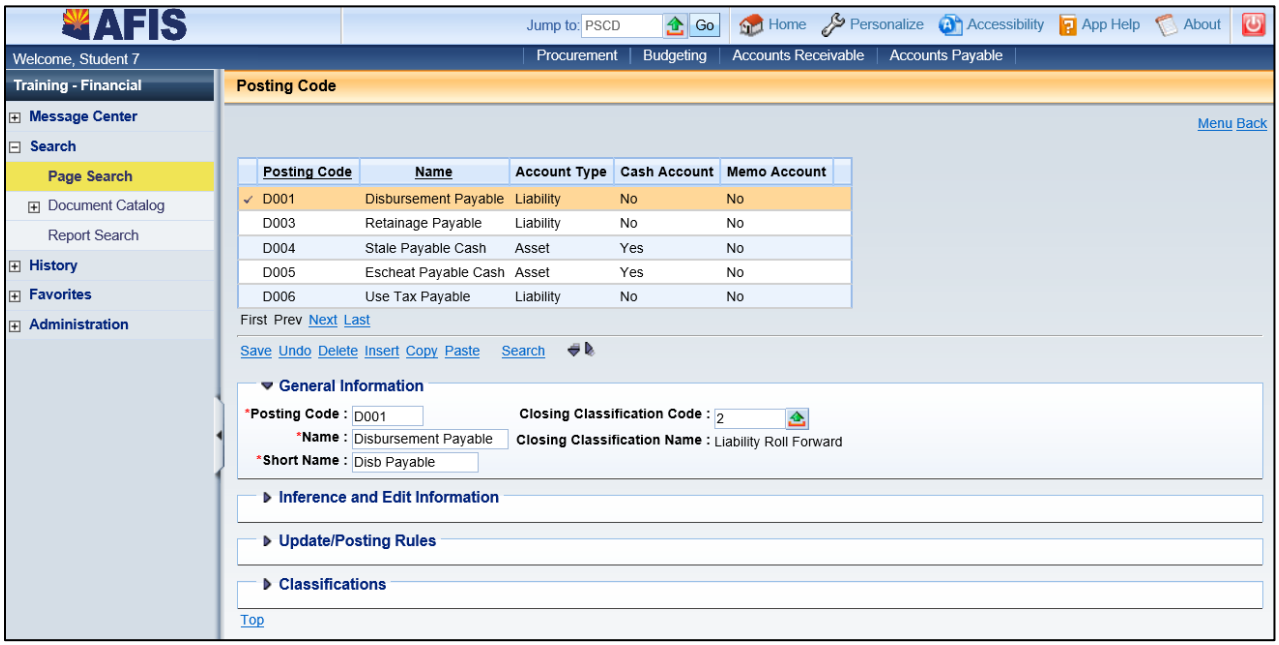
When a document is modified, the modified document will reflect the full, final amount of the document. Additional JACTG entries will be created with amounts that reflect the delta changes from the prior version of the document.

Note that when the fiscal year or accounting period changes when modifying a document, but the dollar amount or other Chart of Accounts elements do not change, JACTG entries will not be created. If there is a need to create JACTG entries to post to a new fiscal year or accounting period, users can modify the original accounting lines to $0 and create new accounting lines with the new fiscal year or accounting period.

Posting Codes and Event Types

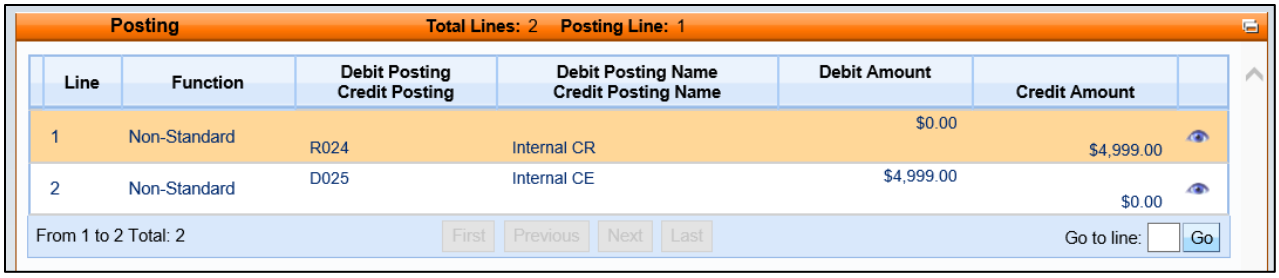
Posting Codes are instructions that tell AFIS how to perform accounting and budgeting updates. The Posting Code (PSCD) page lists all of the posting codes within AFIS. The Classifications section of the PSCD page determines how journal updates occur based on the selected posting code. The PSCD page provides the rules that define which posting codes use default accounts, as well as what information should be inferred from these accounts. Posting Codes are retrieved by the selected Event Type on

documents. For example, an event type of AP01 (Normal Payment) would generate the posting to the following posting codes; D011 – disbursement (Debit Posting Code) and D001 – accrued expenditure (Credit Posting Code). Posting Codes can be used on the Advanced Journal Voucher without an Event Type.



Event Types are entered on document transactions to record a specific event that occurs in a business area. Event Types belong to specific Event Categories, such as Accounts Payable or Cost Accounting. The Event Categories in AFIS are broad areas of accounting transactions containing the processing logic.

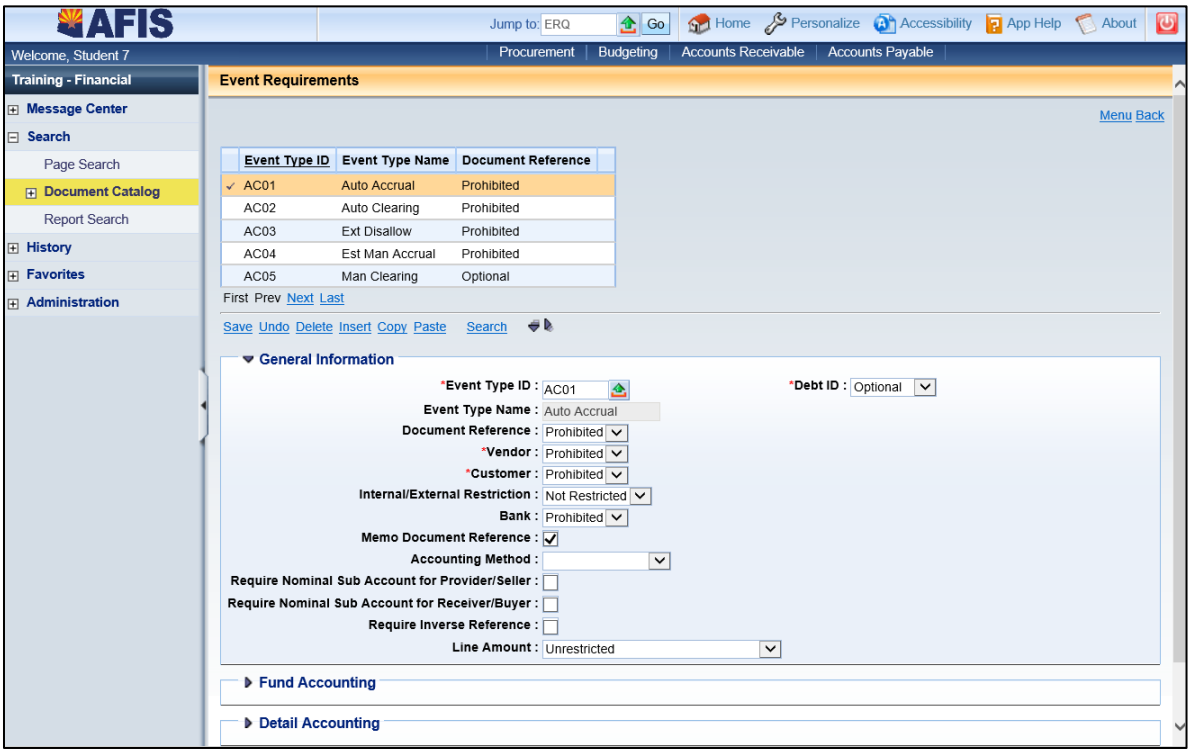
Event Types determine which debit and credit posting codes are used. When an Event Type is recorded on a document transaction, and the document is validated or submitted, the debit and credit posting lines associated with an accounting line on the document are created automatically by AFIS based on the Event Type.



Event Requirements

For each Event Type in AFIS, there are data-entry rules that are defined, such as requiring or prohibiting certain COA elements when the specified event takes place. These rules are defined on the Event Requirements (ERQ) table.

The Event Type requirements control smaller components of accounting activity that are used to perform a specific accounting, budgeting or non-accounting activity. The ERQ table brings in specific rules for data entry concerning referenced transactions, customer codes, vendor codes, and all defined COA elements in AFIS.



The Event Types and posting codes used for General Accounting transactions in AFIS are required. Event Types for these transactions prohibit a bank code.

2.2. Accounting Templates and Functions

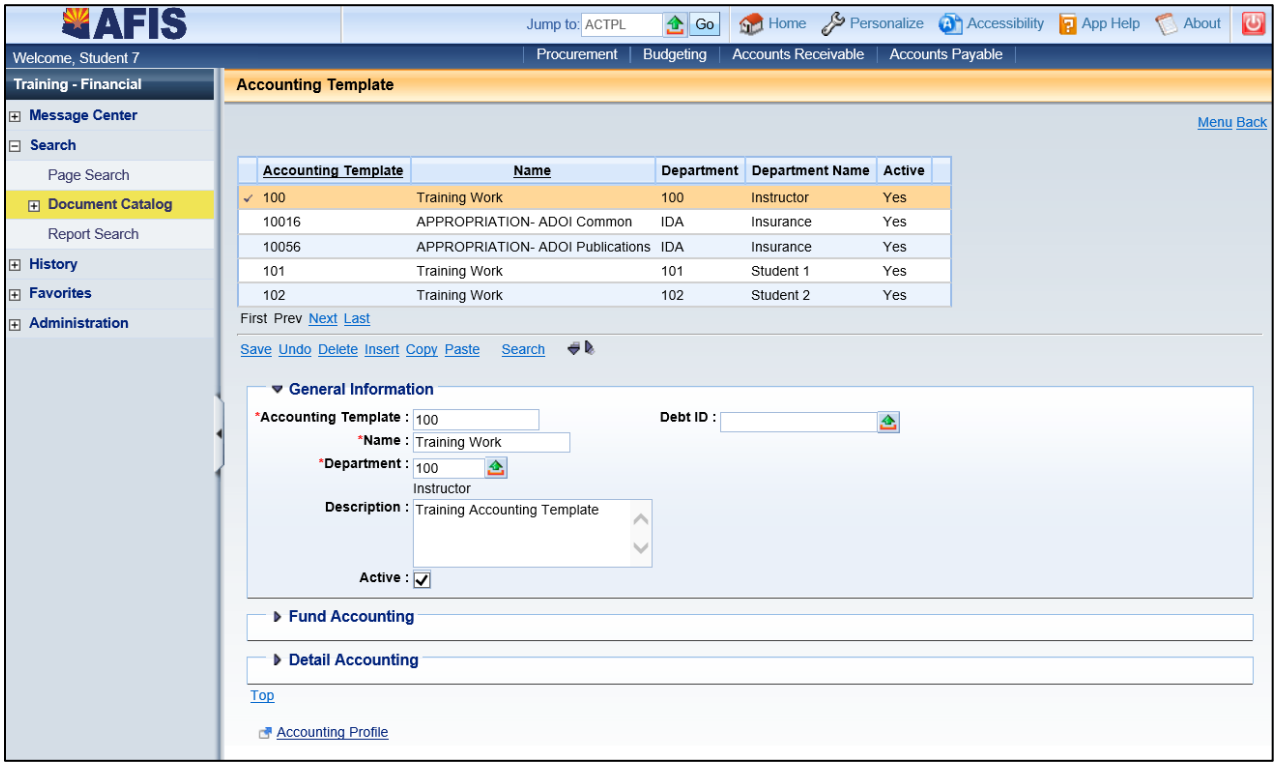
In AFIS, document data entry requires that accurate information be entered in order for the process to be as efficient as possible. There are two tools in AFIS that help reduce both the time required to complete data entry and the number of errors committed in the process.

Accounting Templates

The Accounting Template (ACTPL) table allows authorized users to create a template of Chart of Accounts elements with a unique name for identification. The Accounting Template COA string can then be used to generate or infer information on the Accounting Line and Accounting Distribution components of specific documents.

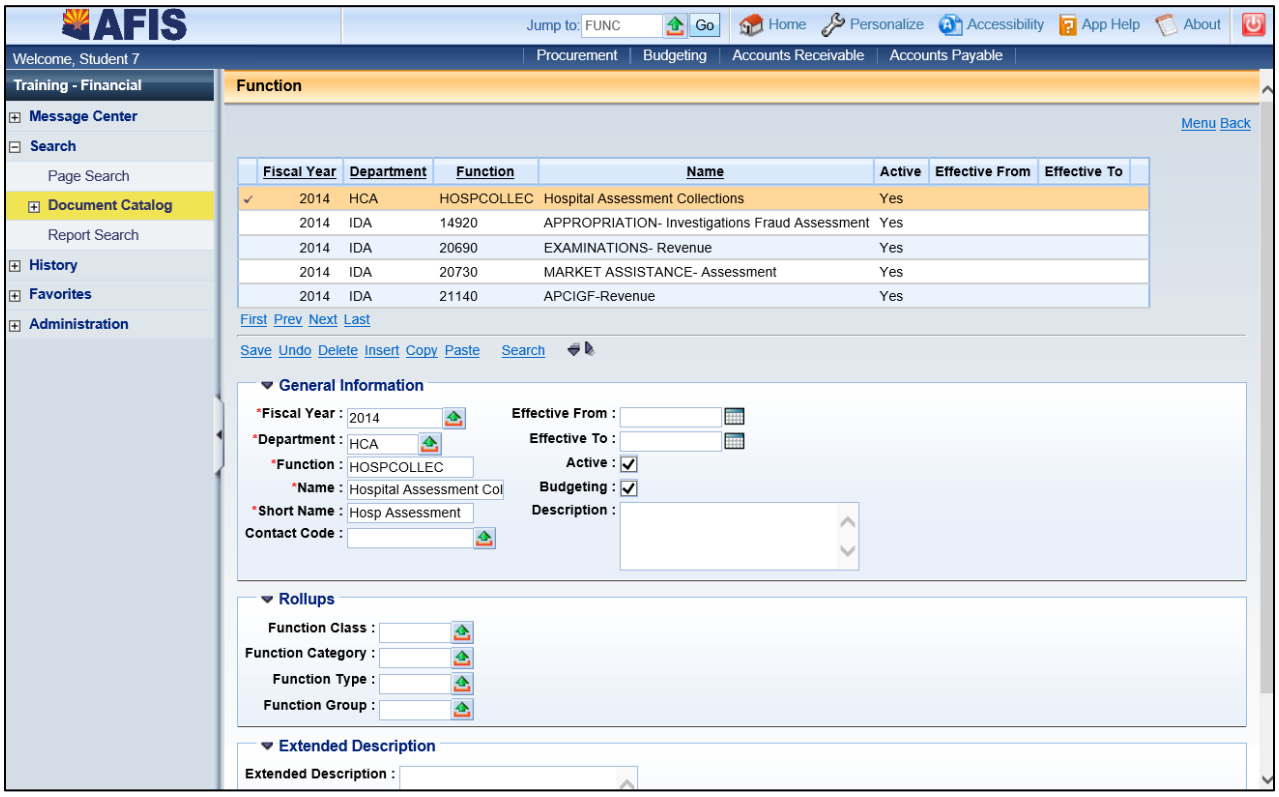
When an Accounting Template is entered, the information on the Accounting Line is automatically generated when the document is validated. The generated Accounting Line information contains the COA elements that are part of the template. In AFIS, Accounting Templates can be configured by and are

unique to each department. Accounting Templates use soft inference, meaning that the template elements only fill in values for blank fields and do not overwrite elements that are manually coded or inferred by hard inference into document fields.



Functions

Functions are used when creating documents to reduce input errors by inferring COA element values based on department. Document accounting information such as COA element codes use a hard inference when a Function code is selected on the Accounting line, meaning that fields inferred by a Function override fields that have been manually entered. Functions are the preferred method of accounting data entry because they are less susceptible to error than Accounting Templates or manual entry.



Lesson Summary

In this lesson, you:

- Identified the tables and types of information used in General Accounting
- Reviewed the use of Accounting Templates and Functions in data entry

Check Your Progress

1. The area of General Accounting only covers miscellaneous transactions that are not processed by other functional business areas.
    a. True
    b. False

2. Posting Codes are entered by the user on documents and tell the document what Event Type to use.
    a. True
    b. False

3. Functions use which method of inference?
    a. Soft
    b. Dynamic
    c. Hard
    d. Smart

3. General Accounting Queries

Learning Objectives

In this lesson, you will:

- Perform research using the Cash Balance query pages
- Perform research using the Balance Sheet query pages
- Perform research using the Expense Summary query pages

Lesson Overview

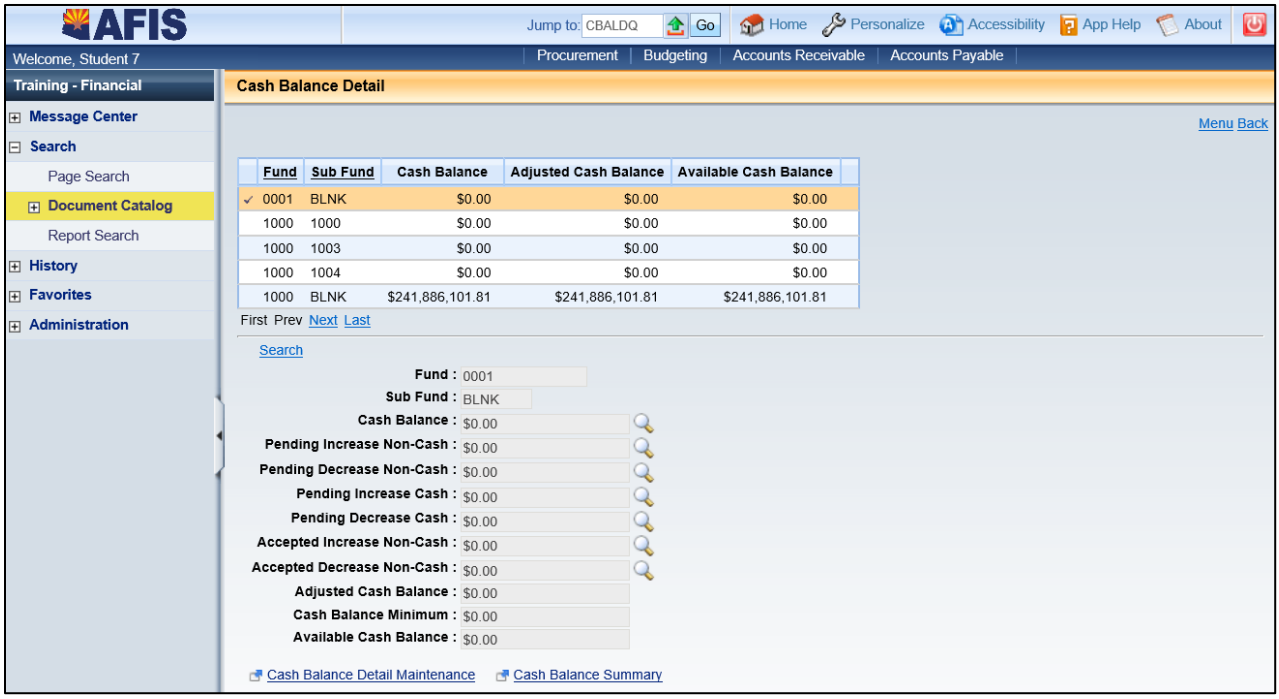
The General Accounting business area provides a number of query pages that display current balances for researching cash, funds and Balance Sheet Account (BSA) balances. The query pages include a Drill Down (magnifying glass) icon enabling the user to view more details about the amounts displayed on the page. For pending amounts, the Drill Down button opens a Detail Transaction Listing page to show pending documents used to calculate the amount. For accepted or approved amounts, the Drill Down button displays the Accounting Journal (JACTG) page and returns a list of documents that updated the amount.

3.1. Cash Balance

There are several query pages that can be used to research Cash Balance information, the Cash Balance Detail Query (CBALDQ), Cash Balance Summary Query (CBALSQ), Cash Balance Pool Query (CBALPQ), and Cash Journal (JCASH).

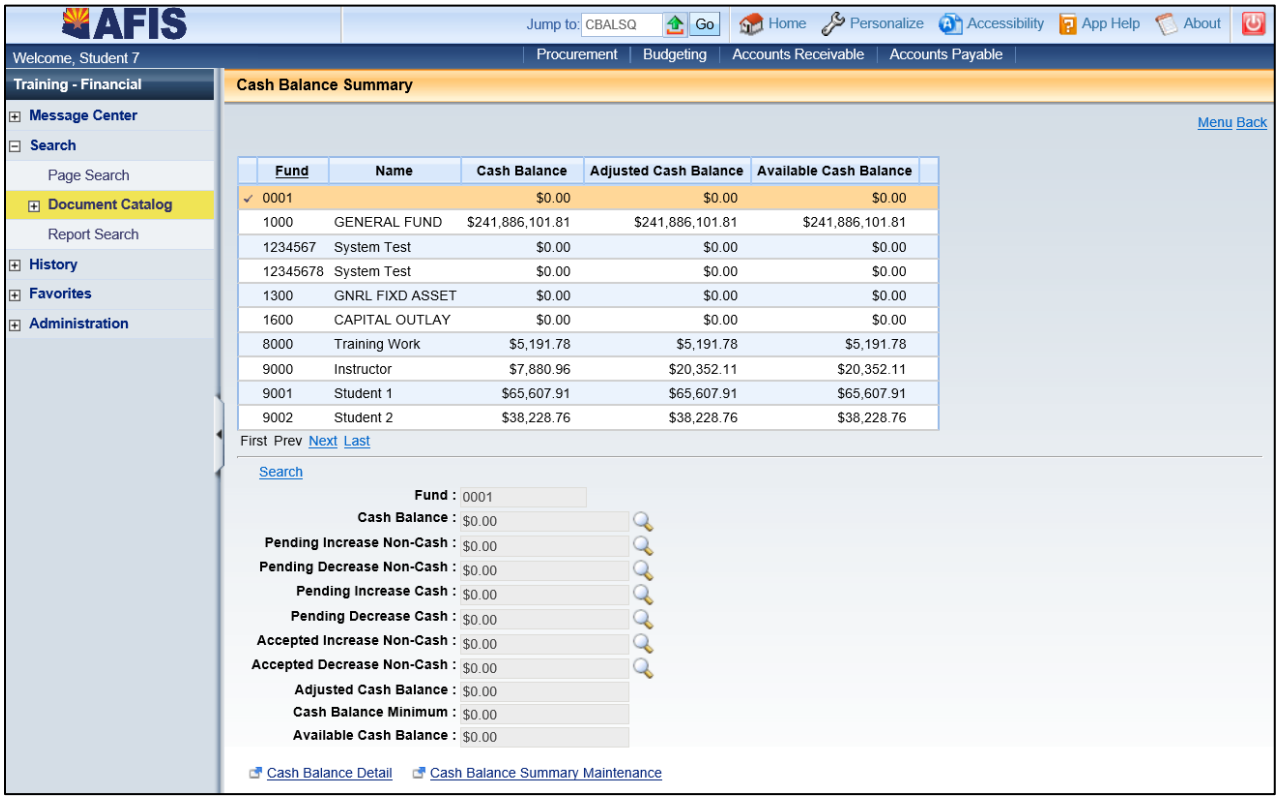
Cash Balance Detail Query (CBALDQ)

The Cash Balance Detail Query (CBALDQ) page displays current balances and cash tracking totals for a Fund and Sub Fund combination. The Cash Balance amount on the CBALDQ is calculated using the ITD (Inception-to-Date) Balance Sheet Details (BBALD) query page for those BSA accounts defined on the Cash Balance Detail Maintenance (CBALD) table. The other amounts on the Cash Balance Detail are directly updated from accounting transactions.



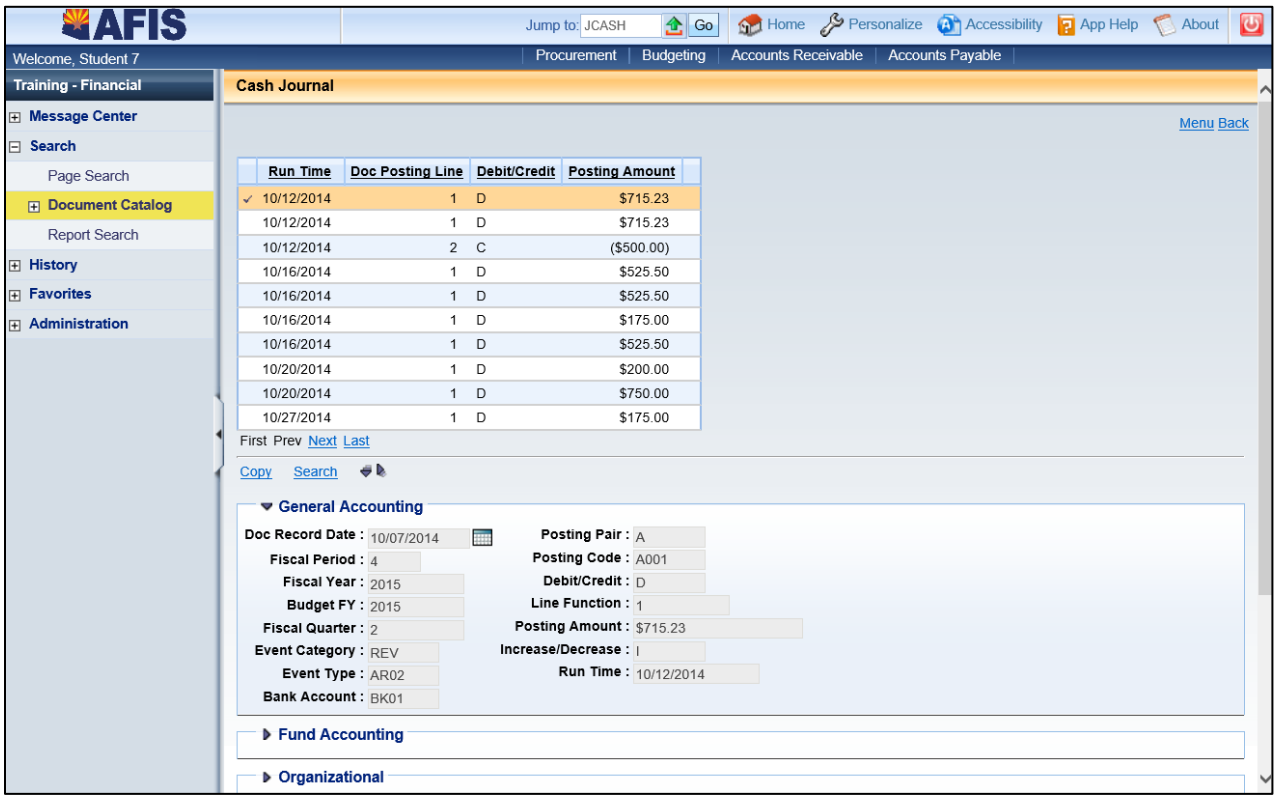
Cash Balance Summary Query (CBALSQ)

The Cash Balance Summary Query (CBALSQ) page displays current balances and cash tracking totals for a Fund. When an accounting transaction updates the Cash Balance Detail, the Cash Balance Detail updates the Cash Balance Summary.



Cash Journal (JCASH)

The Cash Journal (JCASH) gives users a view into the journal lines from processing accounting documents where cash or items considered close to cash are involved. It is a source of data that can be utilized for cash analysis because it does not include other types of accounting entries. The Cash Journal is not balanced based on the fact that only one side of a disbursement or collection is recorded.



ACTIVITY 3.1

Review the Cash Balance Information

Scenario

Review the Cash Balance Summary Query (CBALSQ) query page for a Fund.

Setup

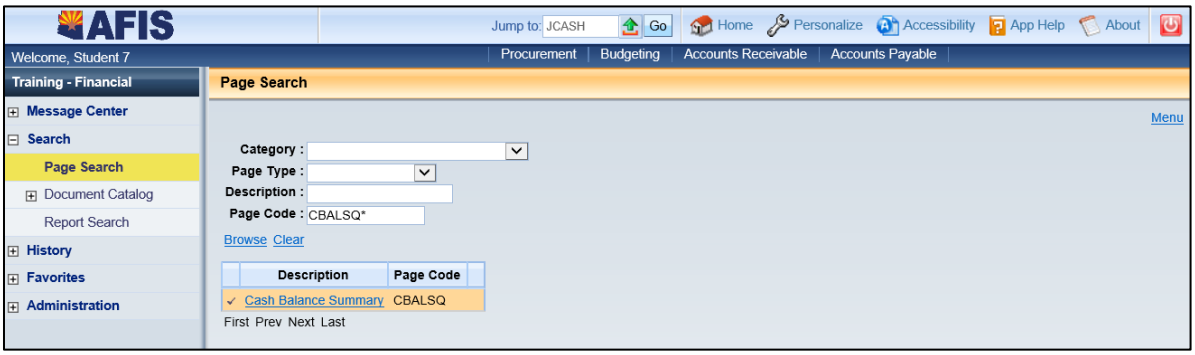
✓ User is logged into the AFIS Home Page.

Steps

A. Access the Cash Balance Summary Query page.

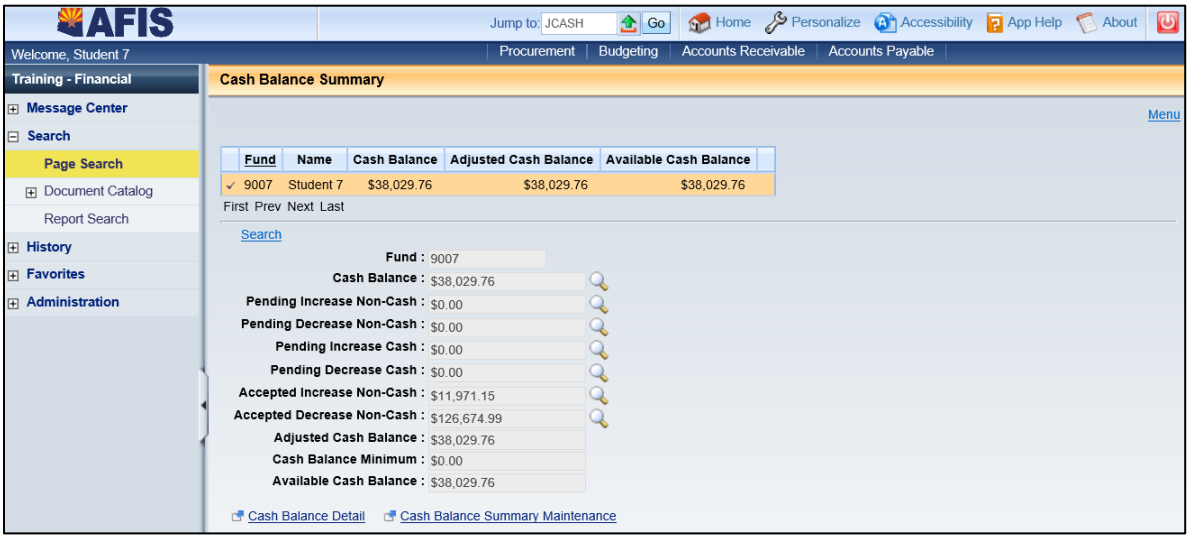
1. On the Secondary Navigation Panel, click **Search**.
2. Click **Page Search**.

3. In the **Page Code** field, enter ***CBALSQ***.
4. Press **Enter**.
5. Click the **Cash Balance Summary** link.



B. Review the Cash Balance Summary Query page for a Fund.

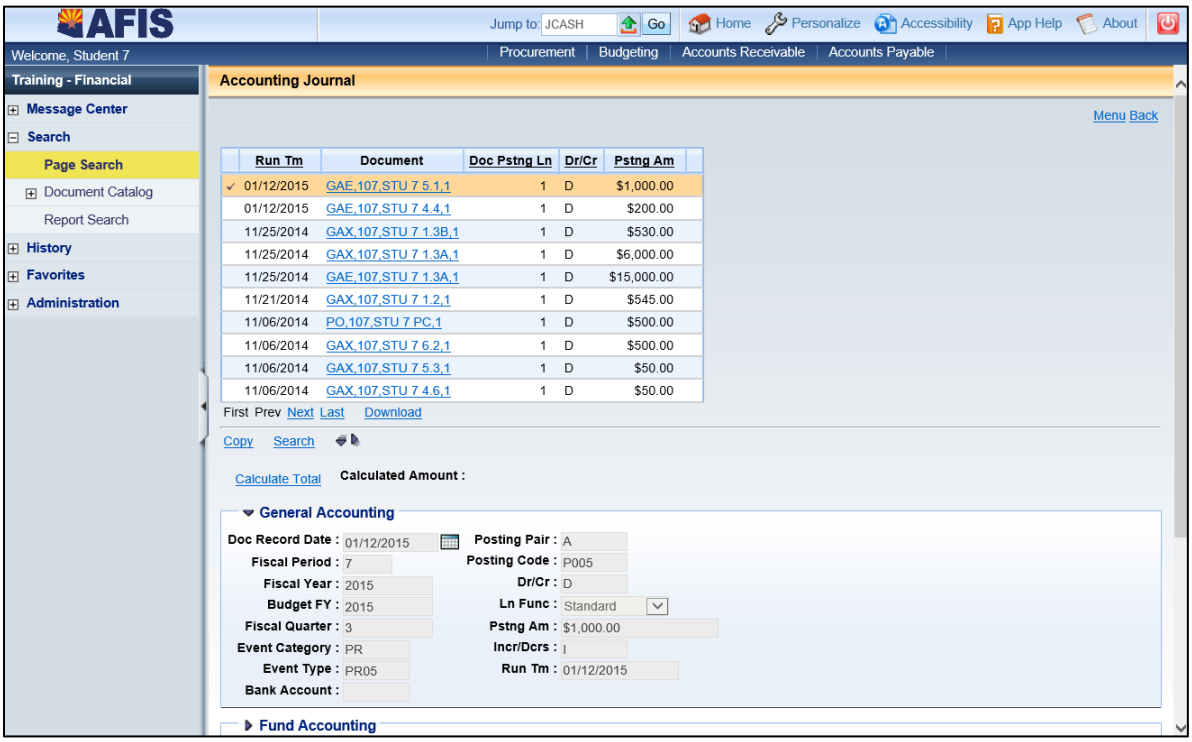
1. Click the **Search** link that is below the table
2. In the Search window, in the **Fund** field, enter the data from ***your student data card.***
3. Click **Ok**.



C. Review the cash balance summary information.

1. Review the **Accepted Decrease Non-Cash** field.

2. Click the **Drill Down** (magnifying glass) icon next to the **Accepted Decrease Non-Cash** field to see the documents that contributed to the total spent.



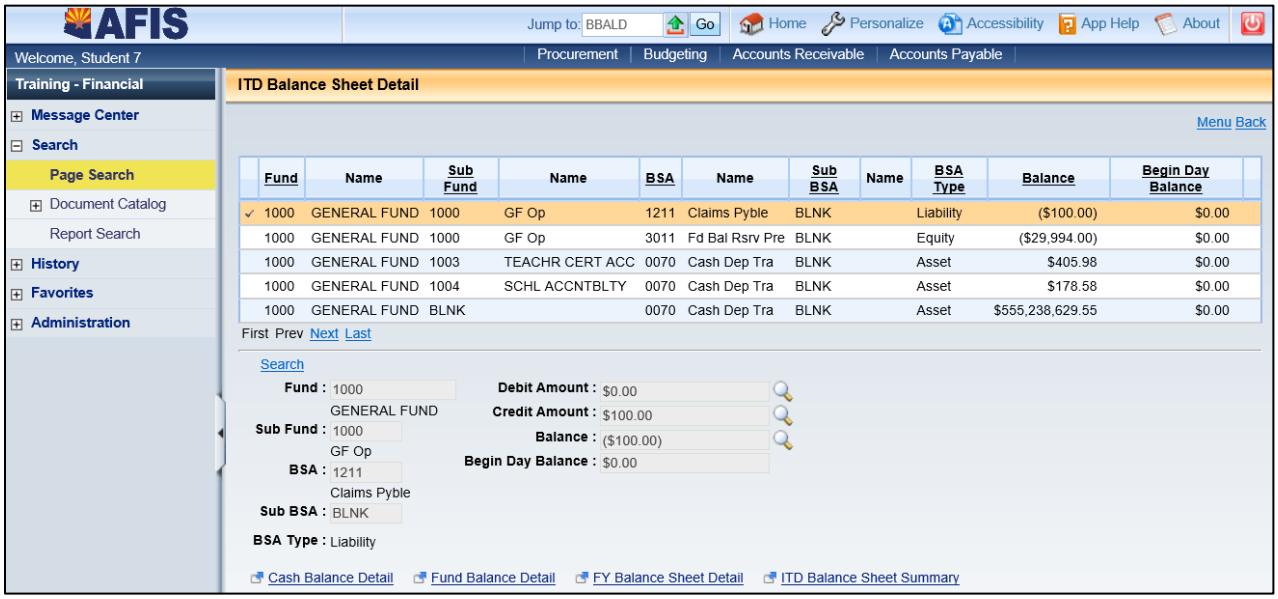
3. Click **Home** in the Primary Navigation Panel to return to the Home Page.

3.2. Balance Sheet

There are several query pages that can be used to research Balance Sheet Account information, the ITD (Inception-to-Date) Balance Sheet Summary (BBALS), ITD Balance Sheet Detail (BBALD), and Fiscal Year Balance Sheet Detail (BBALFY).

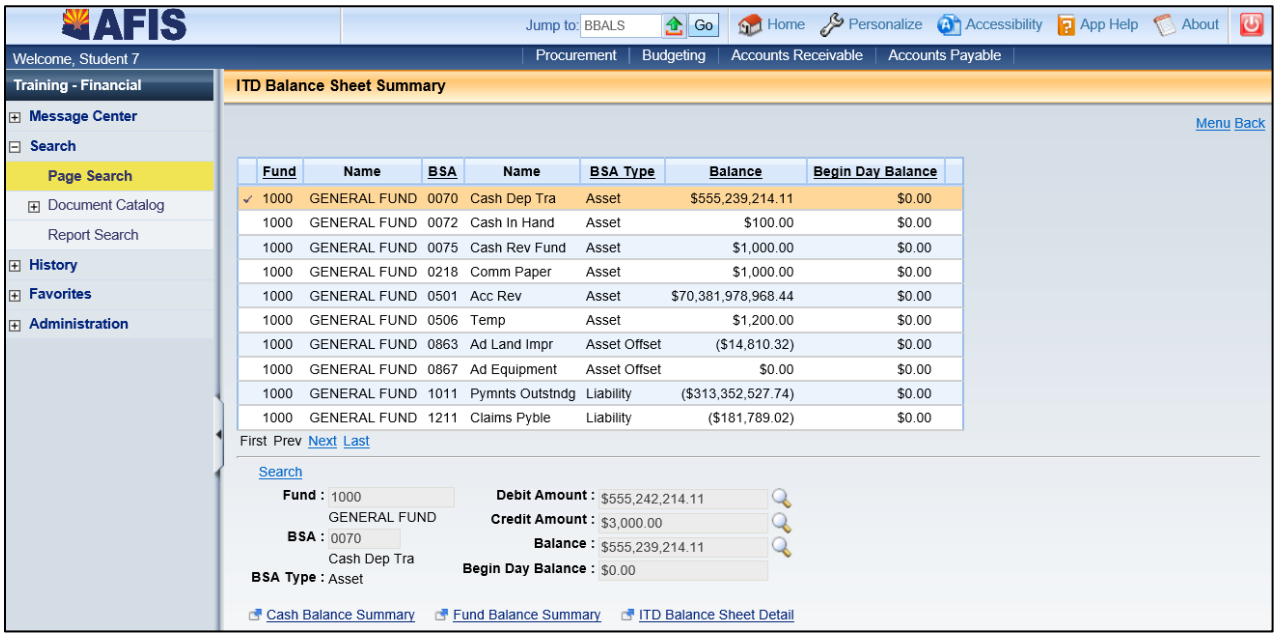
ITD Balance Sheet Detail (BBALD)

The ITD Balance Sheet Details (BBALD) query page displays balance sheet account balances at the Fund, Sub Fund, BSA, and Sub BSA levels independent of fiscal year. At the bottom of the BBALD page are links to Cash Balance Detail, Fund Balance Detail, FY Balance Sheet Detail and ITD Balance Sheet Summary.



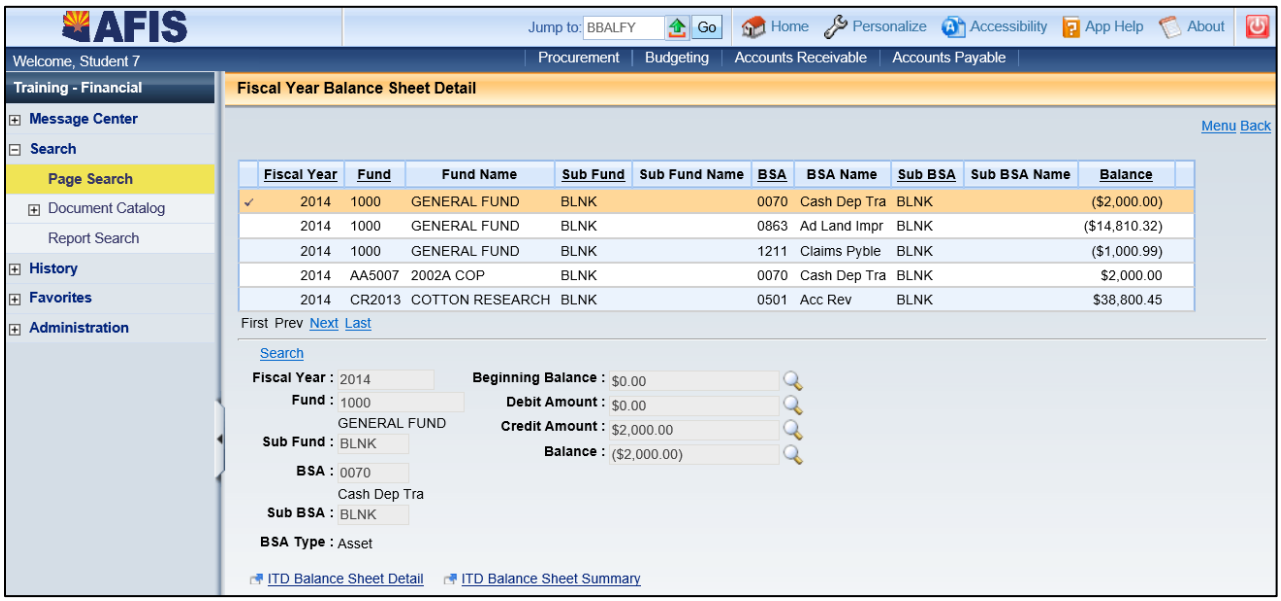
ITD Balance Sheet Summary (BBALS)

The ITD Balance Sheet Summary (BBALS) query page displays balance sheet account balances at the Fund and BSA levels independent of fiscal year. When an accounting transaction updates the ITD Balance Sheet Detail, the ITD Balance Sheet Detail updates the ITD Balance Sheet Summary.



Fiscal Year Balance Sheet Detail (BBALFY)

The Fiscal Year Balance Sheet Detail (BBALFY) query page displays balance sheet account balances at the same level as the ITD Balance Sheet Detail page except that it includes fiscal year beginning and ending balances. The Fiscal Year Balance Sheet Detail page Beginning Balance amount is equal to the previous Fiscal Year's Ending Balance amount.



ACTIVITY 3.2

Review the Balance Sheet Account Information

Scenario

Use the ITD Balance Sheet Summary page to determine the current balance for a specific Fund and BSA combination. Then, drill down to view the documents that generated the total.

Setup

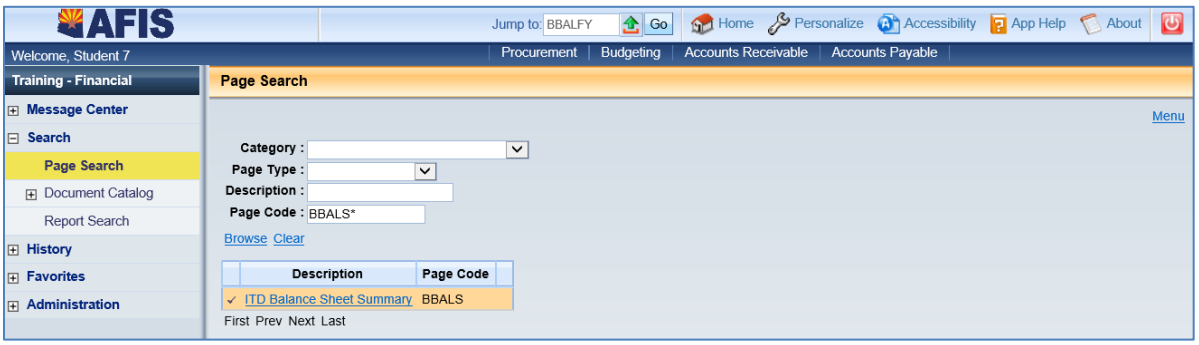
- ✓ User is logged into the AFIS Home Page.

Steps

A. Access the Fund Balance Summary page.

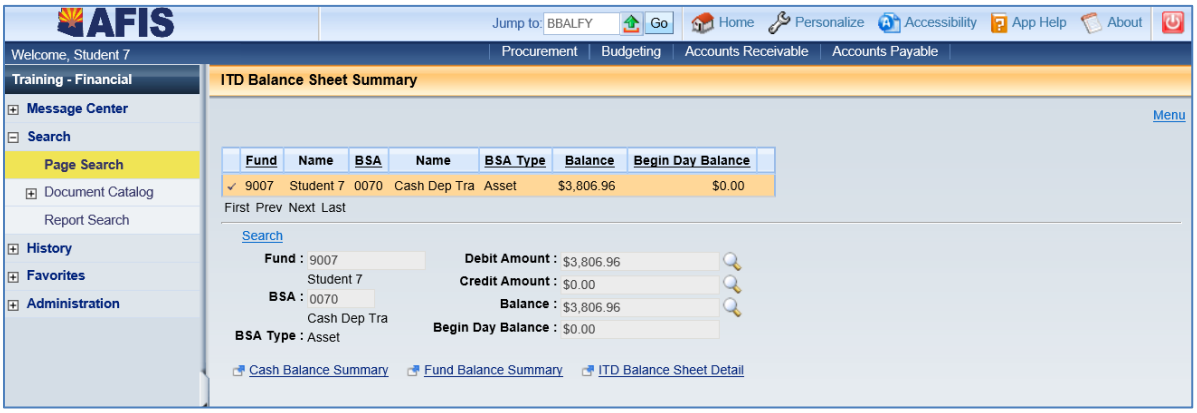
1. On the Secondary Navigation Panel, click **Search**.
2. Click **Page Search**.
3. In the **Page Code** field, enter ***BBALS***.
4. Press **Enter**.

5. Click the **ITD Balance Sheet Summary** link.



B. Search for the current balance for a specific Fund and Balance Sheet Account combination.

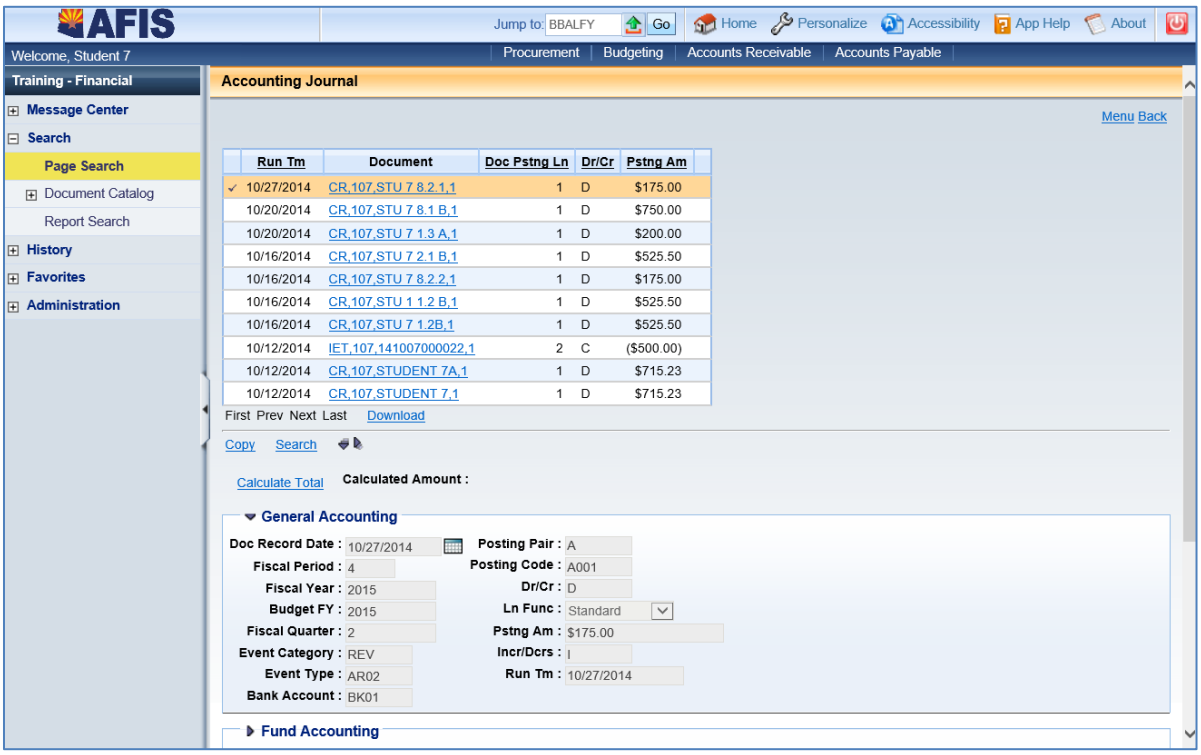
1. Click **Search** that is below the reference table
2. In the Search window, in the **Fund** field, enter the data from ***your student data card***.
3. In the **BSA** field, enter **0070**.
4. Click **Ok**.



C. Review the fund balance summary information.

1. Next to the **Balance** field, click the **Drill Down** icon (magnifying glass).

2. Review the documents displayed in the list.



D. Close the page.

1. Click the **Back** link in the upper right corner of the page.
2. Click **Home** in the Primary Navigation Panel to return to the Home Page.

3.3. Expense Summary Query

Budget Structures in AFIS are broken down into levels and each level has a corresponding query page. Some Budget Structure levels also have Expense Summary (ESUM) query pages. An Expense Budget Summary page allows users to view summaries of Expense Budgets by summarizing individual budget lines across any combination of budgeted Chart of Accounts elements used to define a level of a particular expense budget structure. The expense budget structures are:

- Budget Structure 90 – Appropriation and Allotments
- Budget Structure 91 – Department Expense – Bureau
- Budget Structure 92 – Department Expense – District
- Budget Structure 93 – Department Expense – Division
- Budget Structure 95 – Department Expense – Unit

Budget Structure 90

Budget Structure 90 has one level, which has a summary page available; shown in Table 3 below.

Table 3: Budget Structure 90

Document Code	Query Page	Summary Page
BGA90	BQ90LV1	ESUM90L1

Budget Structure 91

Budget Structure 91 has four levels, with a summary page available for level 2; shown in Table 4 below.

Table 4: Budget Structure 91

Document Code	Query Page	Summary Page
BGE91	BQ91LV1	
	BQ91LV2	ESUM91L2
	BQ91LV3	
	BQ91LV4	

Budget Structure 92

Budget Structure 92 has four levels, with a summary page available for level 4; shown in Table 5 below.

Table 5: Budget Structure 92

Document Code	Query Page	Summary Page
BGE92	BQ92LV1	
	BQ92LV2	
	BQ92LV3	
	BQ92LV4	ESUM92L4

Budget Structure 93

Budget Structure 93 has three levels, with a summary page available for level 3; shown in Table 6 below.

Table 6: Budget Structure 93

Document Code	Query Page	Summary Page
BGE93	BQ93LV1	
	BQ93LV2	
	BQ93LV3	ESUM93L3

Budget Structure 95

Budget Structure 95 has seven levels, with summary pages available for levels 2, 3, and 7; shown in Table 7 below.

Table 7: Budget Structure 95

Document Code	Query Page	Summary Page
BGE95	BQ95LV1	
	BQ95LV2	ESUM95L2
	BQ95LV3	ESUM95L3
	BQ95LV4	
	BQ95LV5	
	BQ95LV6	
	BQ95LV7	ESUM95L7

ACTIVITY 3.3

Viewing an Expense Summary Query

Scenario

To view the amount in the Current Budget use the Expense Summary (ESUM) query for the Bureau budget structure.

Setup

- ✓ User is logged into the AFIS Home Page.

Steps

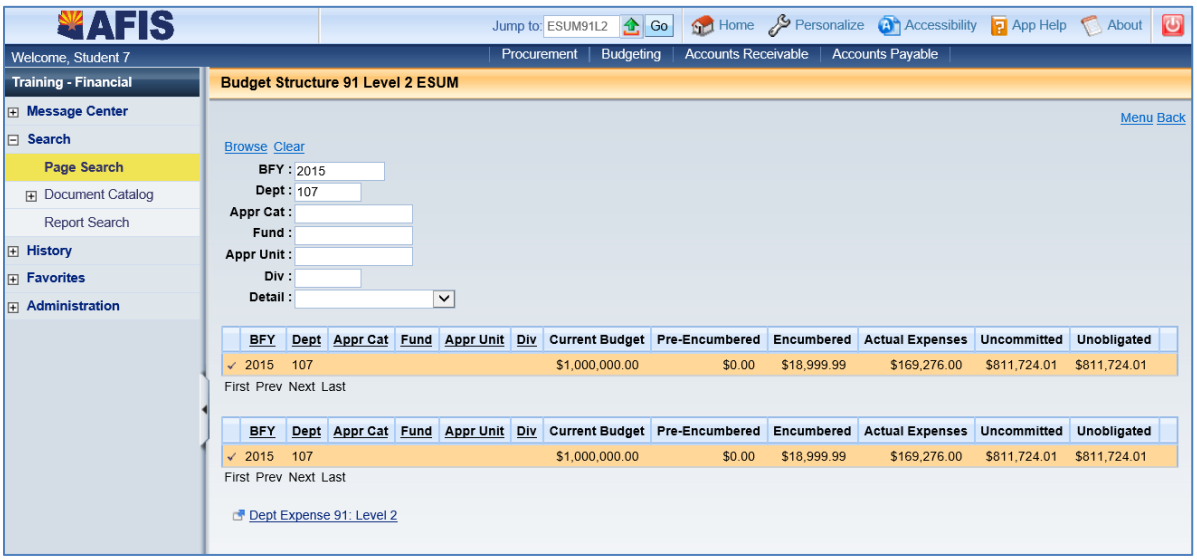
A. Access the Expense Summary page.

1. On the Secondary Navigation Panel, click **Search**.
2. Click **Page Search**.
3. In the **Page Code** field, enter ***ESUM91L2***.
4. Press **Enter**.
5. Click the **Description** link.

B. Review the budget for the current fiscal year.

1. On the Budget Structure page, in the **BFY** field, enter **2015**.
2. In the **Dept** field, enter the data from ***your student data card.***
3. Click **Browse**.

4. Observe the amount in the Current Budget column.



C. Close the page.

1. Click **Home** in the Primary Navigation Panel to return to the Home Page.

Lesson Summary

In this lesson, you:

- Performed research using the Cash Balance query pages
- Performed research using the Balance Sheet query pages
- Performed research using the Expense Summary query pages

Check Your Progress

1. The Cash Balance Detail Query page updates the Cash Balance Summary and Cash Balance Pool Query pages.
   a. True
   b. False

2. The Fiscal Year Balance Sheet Detail query page displays the same balance sheet details as the ITD Balance Sheet Detail except that it includes:
   a. Fiscal year beginning balance
   b. Fiscal year projected balance
   c. Fiscal year ending balance
   d. Both a and c

4. Decentralized Chart Of Accounts Elements

Learning Objectives

In this lesson, you will:

- Identify available decentralized Chart of Accounts elements in AFIS
- Create decentralized Chart of Accounts codes

Lesson Overview

The COA is a key component of AFIS and is comprised of a set of reference tables used to validate codes entered on system transactions. The COA has two functions:

- Provides a centralized uniform set of codes to recognize expense, revenue, and balance sheet transactions across the State
- Provides decentralized codes for agencies to meet their own business tracking, reporting and budgeting needs

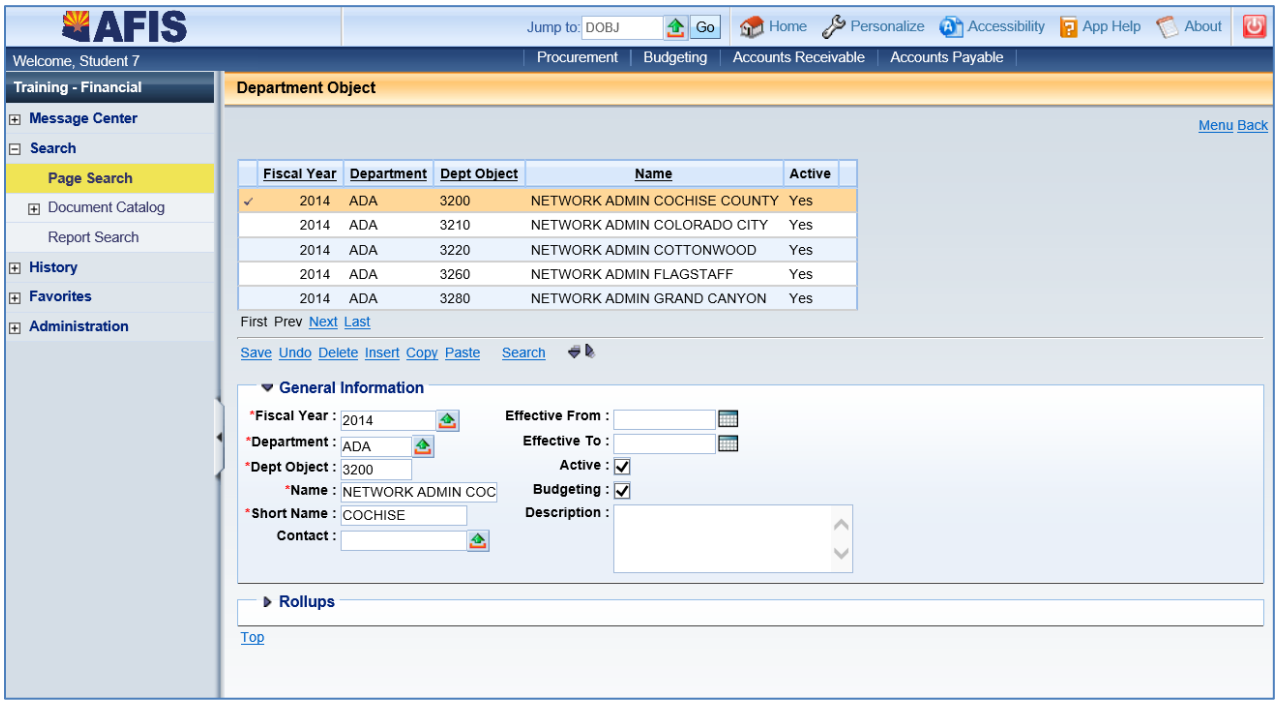
This lesson will identify decentralized COA codes that are available for department use and review the process of adding decentralized COA codes.

4.1. Decentralized COA Codes

Decentralized COA elements are maintained at a department level. Department level managers with the appropriate security have the ability to add new elements, modify existing elements, and delete existing elements within their departments. The available decentralized COA elements are: Department Object, Department Revenue Source, Location, Activity, Function, and Task.

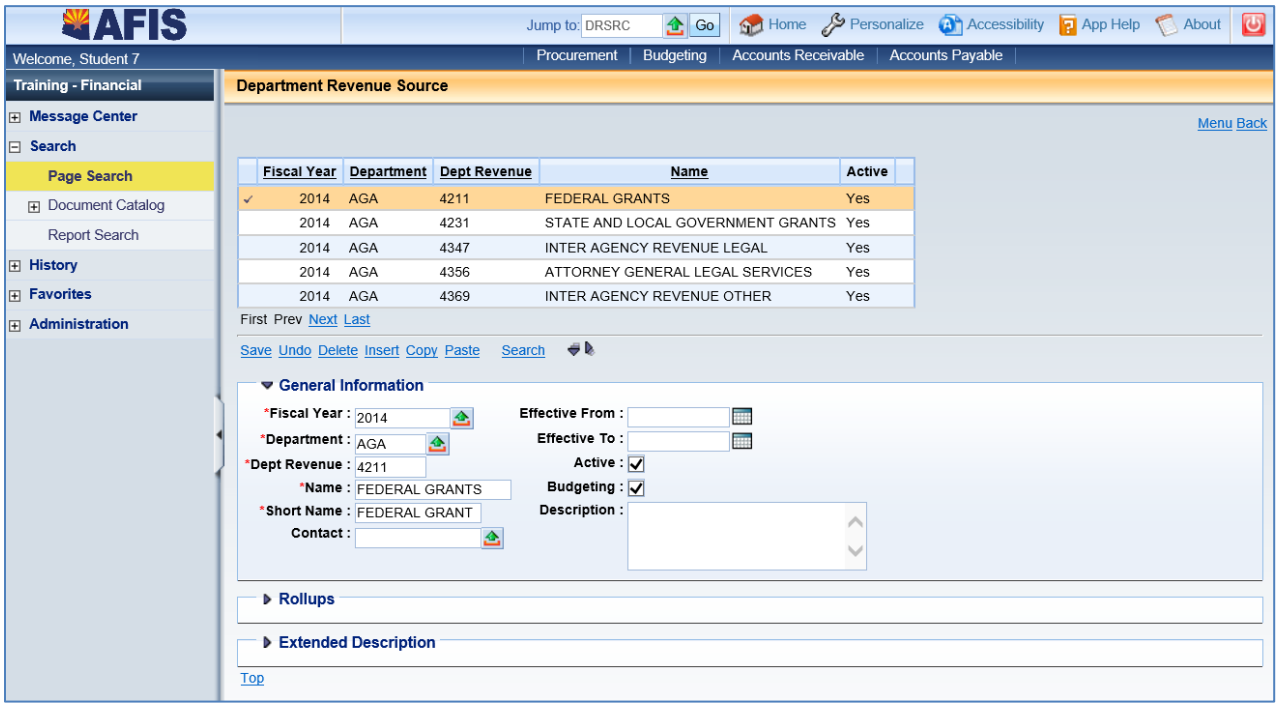
Department Object

The Department Object (DOBJ) table allows users to establish valid department Object codes and associated information related to the Object. Objects of expenditure appear in the expense budget and on spending transactions. This is a fund accounting Chart of Accounts element that represents what is being funded at the department level. This table allows users to add, delete, and maintain the Department Object codes used by the department. Each code must be unique within a fiscal year and department.



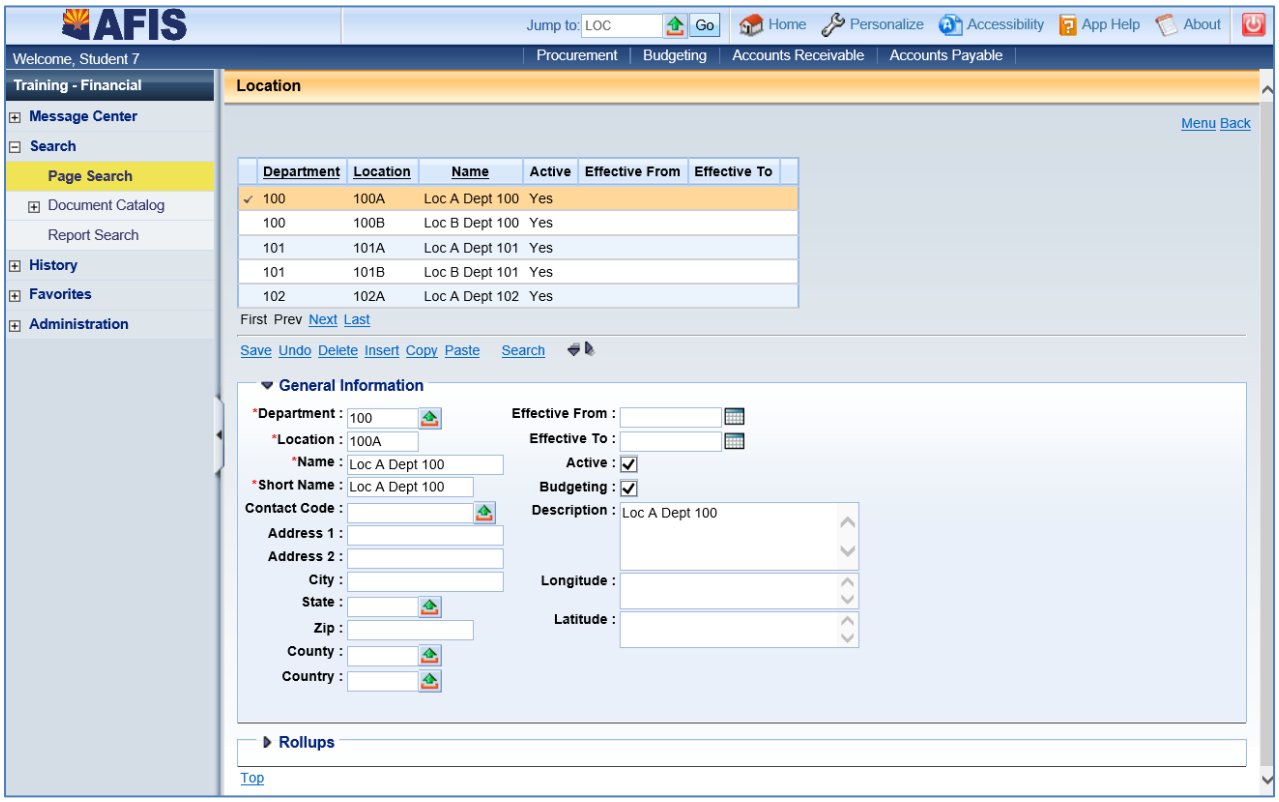
Department Revenue Source

The Department Revenue Source (DRSRC) table allows users to establish valid Department Revenue Source codes and associated information related to the Department Revenue Source. Objects of revenue appear in the revenue budget and on transactions. This is a fund accounting Chart of Accounts element that represents what is being funded at the department level. This table allows users to add, delete, and maintain the Department Revenue Source codes used by the department. Each Department Revenue Source code must be within a fiscal year and department.



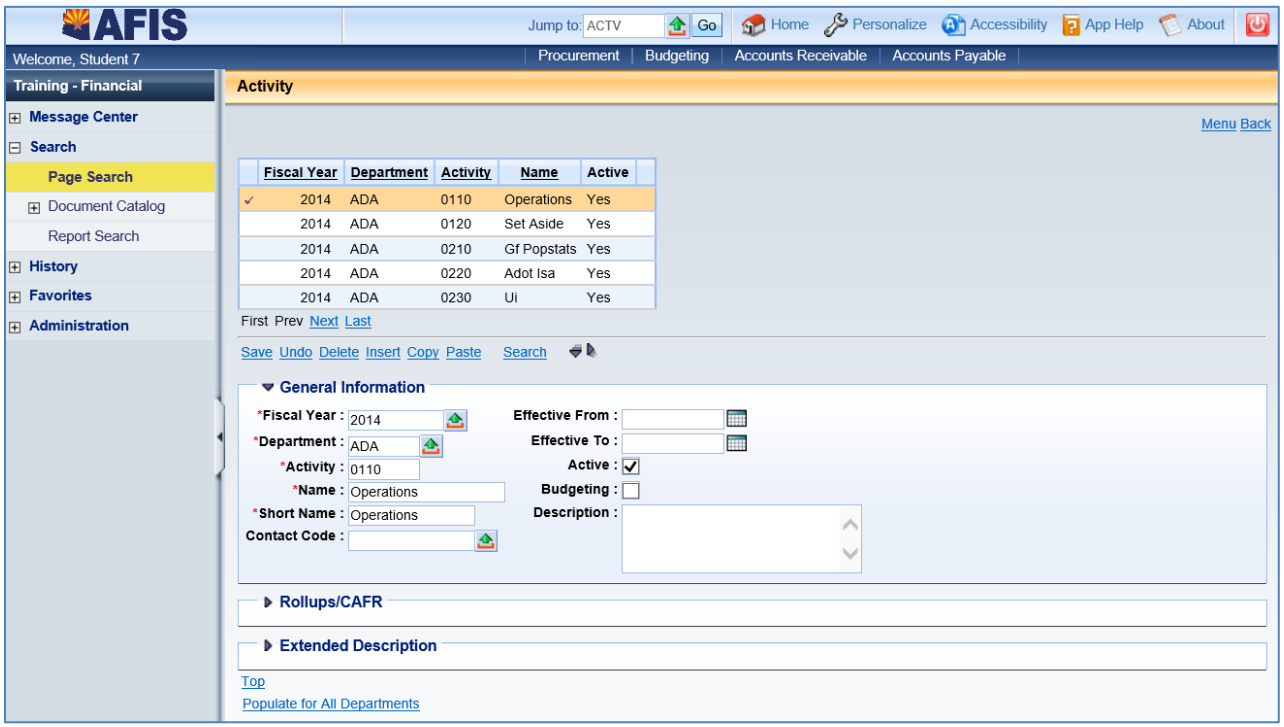
Location

The Location (LOC) table allows users to define Location codes and associated information related to the Location and are required for fixed assets.



Activity

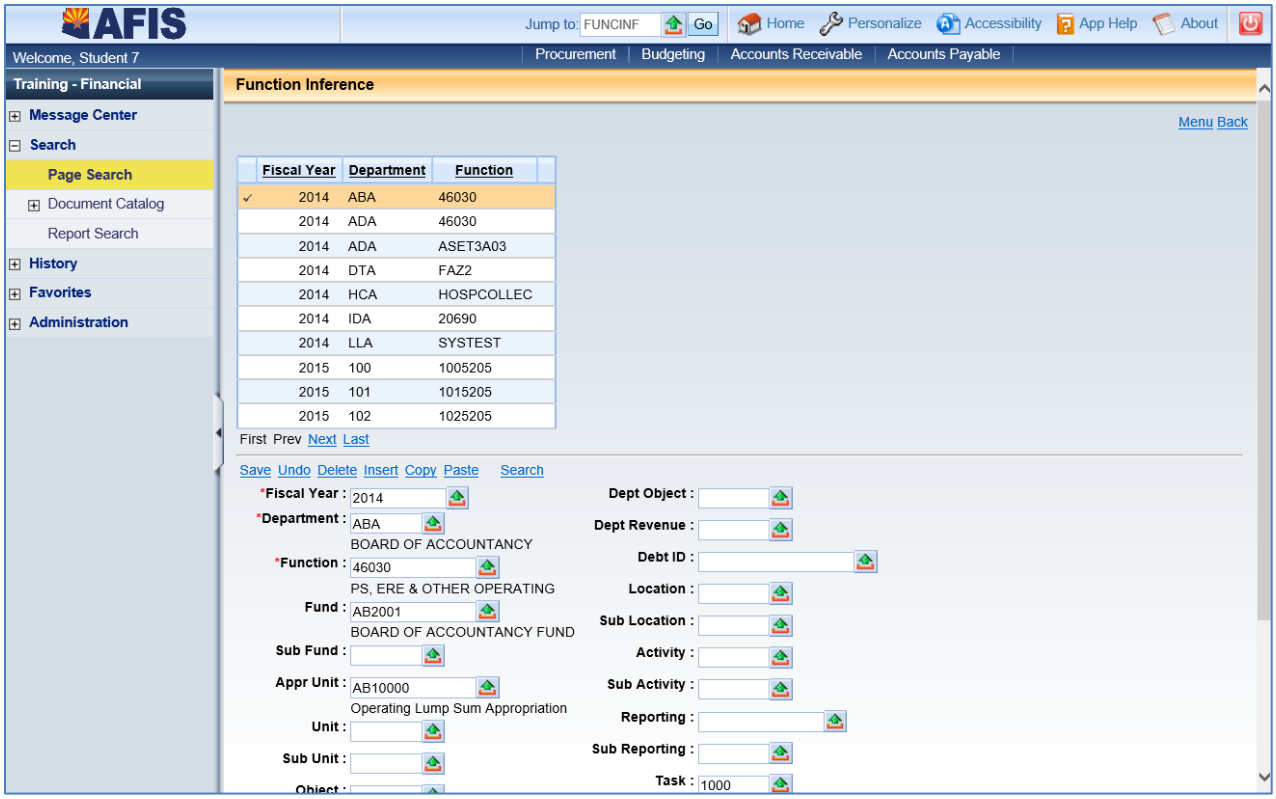
The Activity (ACTV) table allows users to define valid Activities. An Activity is an internal program that is defined for budgeting and/or reporting purposes. Each Department within AFIS can define a separate set of Activity codes, and while they must be unique within a Department, they do not need to be unique across Departments.



Function

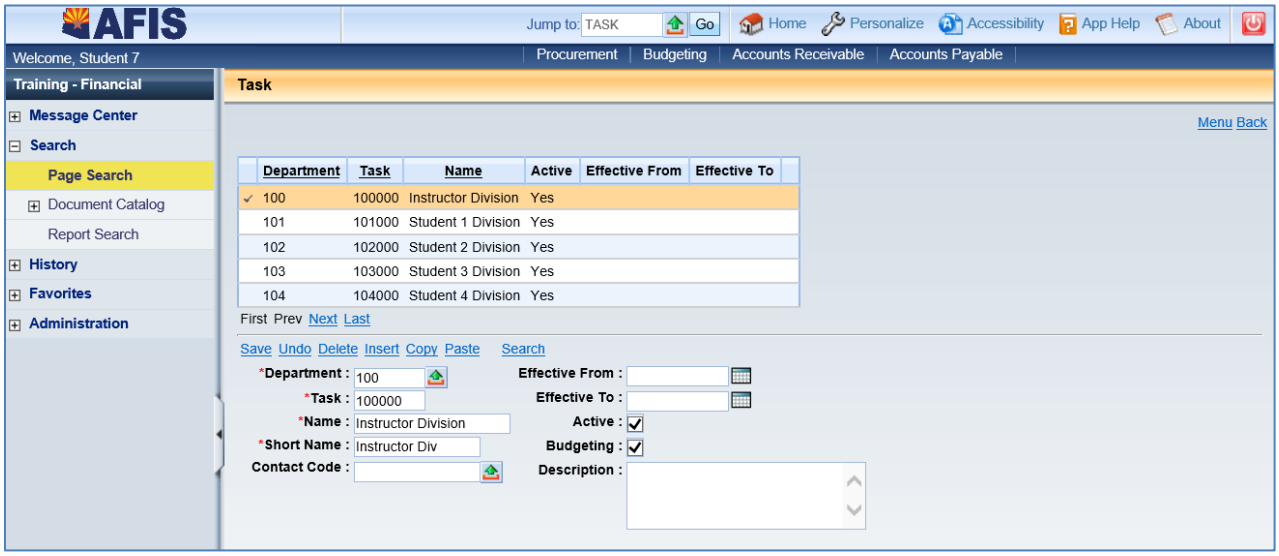
The Function (FUNC) and Function Inference (FUNCINF) tables allow users to define Function codes and their corresponding inference information for their Chart of Accounts structure. Each Department with AFIS can define a separate set of Function codes, and while they must be unique within a Department, they do not need to be unique across Departments.

Functions inference tables provide hard inference COA elements, like an Accounting template provides soft inference COA elements.



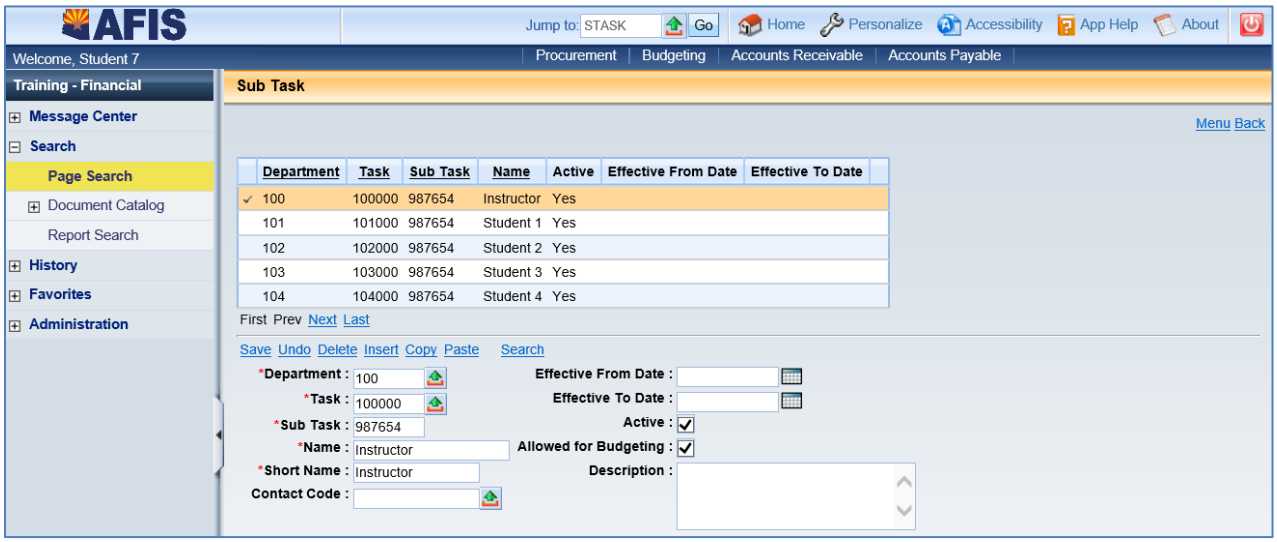
Task

The Task (TASK) table allows users to define valid tasks in the AFIS system. A Task is an inter-program that users must use for budgeting and reporting purposes.



Sub Task

The Sub Task (STASK) table allows users to define valid sub tasks in the AFIS system. A Sub Task is an inter-program that users must use for budgeting and reporting purposes.



ACTIVITY 4.1

Add Decentralized COA Codes

Scenario

You need to create new COA codes for your department.

Setup

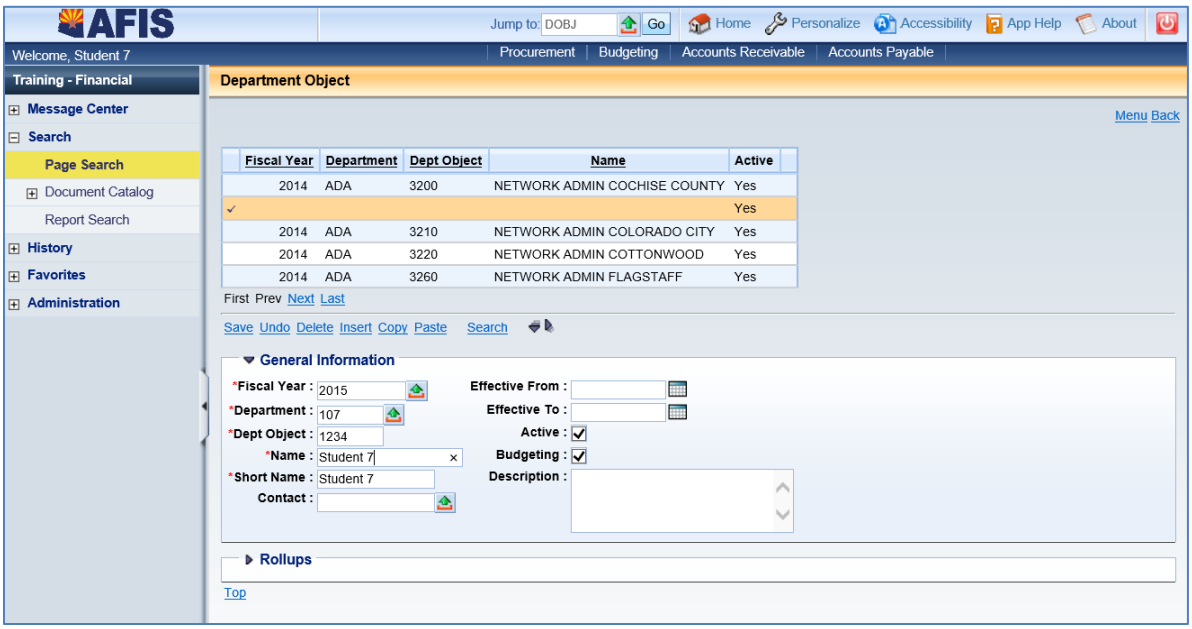
✓ User is logged into the AFIS Home Page.

Steps

A. Create a Department Object code.

1. In the **Jump to** field, enter ***DOBJ***.
2. Click **GO**
3. Click **Insert**.
4. In the new Department Object, in the **Fiscal Year** field, enter ***the current fiscal year***.
5. In the **Department** field, enter the data from ***your student data card***.
6. In the **Dept Object** field, enter the data from ***your student data card***.
7. In the **Name** field, enter the data from ***your student data card***.
8. In the **Short Name** field, enter the data from ***your student data card***.

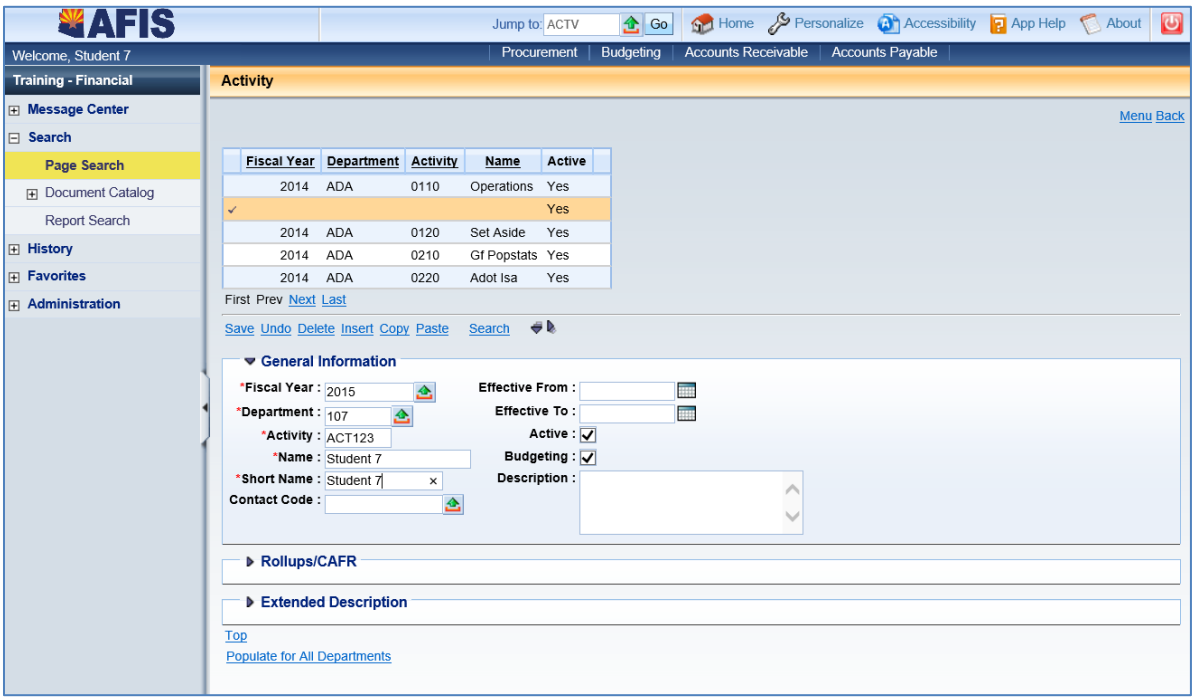
9. Click **Save**.



B. Create an Activity code.

1. In the **Jump to** field, enter ***ACTV***.
2. Click **Insert**.
3. In the new Activity, in the **Fiscal Year** field, enter ***the current fiscal year***.
4. In the **Department** field, enter the data from ***your student data card***.
5. In the **Activity** field, enter ***ACT123***.
6. In the **Name** field, enter the data from your ***student data card***.
7. In the **Short Name** field, enter the data from your ***student data card***.

8. Click **Save**.



C. Close out and return to the Home Page.

1. Click **Home** in the Primary Navigation Panel to return to the Home Page.

Lesson Summary

In this lesson, you:

- Identified available decentralized Chart of Accounts elements in AFIS
- Created decentralized Chart of Accounts codes

Check Your Progress

1. Which of the following is a decentralized COA code?
   a. Fund
   b. Department
   c. Object
   d. Activity

5. INTERNAL PURCHASE ORDER

Learning Objectives

In this lesson, you will:

- Identify the State workflow process for Internal Purchase Order documents
- Examine the Internal Purchase Order document
- Create an Internal Purchase Order document
- Research the updates made by the Internal Purchase Order document
- Cancel an Internal Purchase Order document

Lesson Overview

In AFIS, Accounting transactions can take place between State Departments and within State Departments. When a transaction takes place between Departments it is called an Inter-Agency transaction. When a transaction takes place within a Department it is called an Intra-Agency transaction.

When recording an Inter-Agency transaction, one Department is the buyer and another Department is the seller. If the transaction involves appropriated funds and is for an amount greater than or equal to $1000, the transaction requires the submission and approval of an Internal Purchase Order (IPO) document, which is used to establish in Internal Encumbrance for the buyer Department's appropriations.

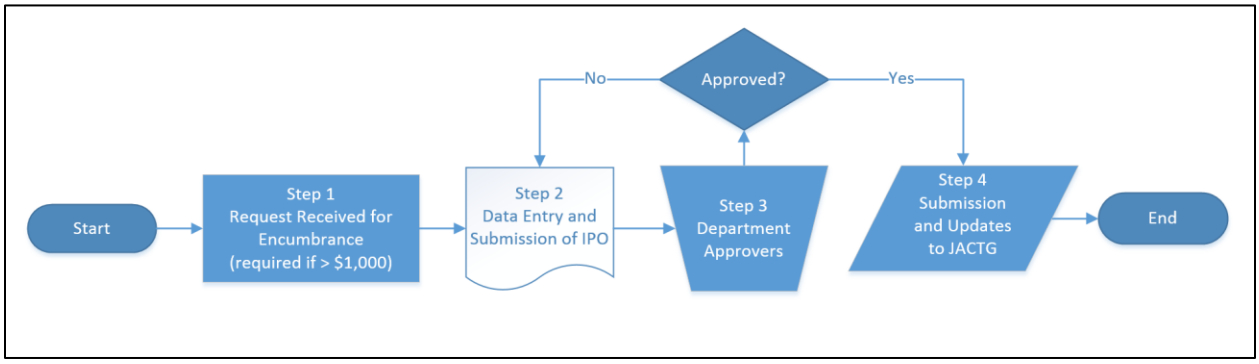
5.1. State Workflow Approval Process Overview

This is a State designed process; your department may have different requirements. This process is referenced in GL-TB-001 and represented by Figure 1 below.

1. A request is received by the department end user for the creation of an Internal Encumbrance. The request may be related to an internal service agreement established with ADOA or some other type of agreement with another department that impacts appropriated funds requiring an encumbrance. Note: This process is required if the expense is for appropriated funds and greater than or equal to $1,000.
2. The department creates an Internal Purchase Order (IPO) transaction that encumbers monies. Chart of Accounts information is entered on the IPO document.
3. The initiating department is responsible for review and approval of the transaction. If the transaction is setup incorrectly, the approver may reject the transaction back to Step 2 of the process. If the review and approval finds the document information complete, then proceed to Step 4.

4. The final approver in the process approves the transaction and the document is submitted to final status and updates the appropriate Accounting Journals and Budget Structures/Inquires.

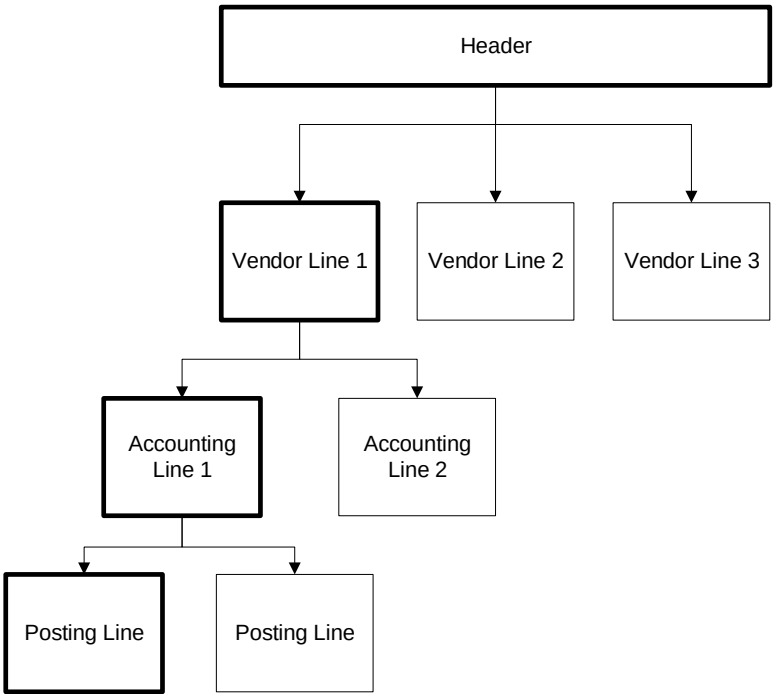
Figure 1: Workflow Process Diagram for IPO Document (GL-TB-001)



5.2. Internal Purchase Order Document Components

The Internal Purchase Order document has 4 components that contain the information for the processing of the internal encumbrance transaction: the Header, Vendor, Accounting and Posting components. Figure 2 shows the structure of the Internal Purchase Order document components.

Figure 2: IPO Document Component Structure

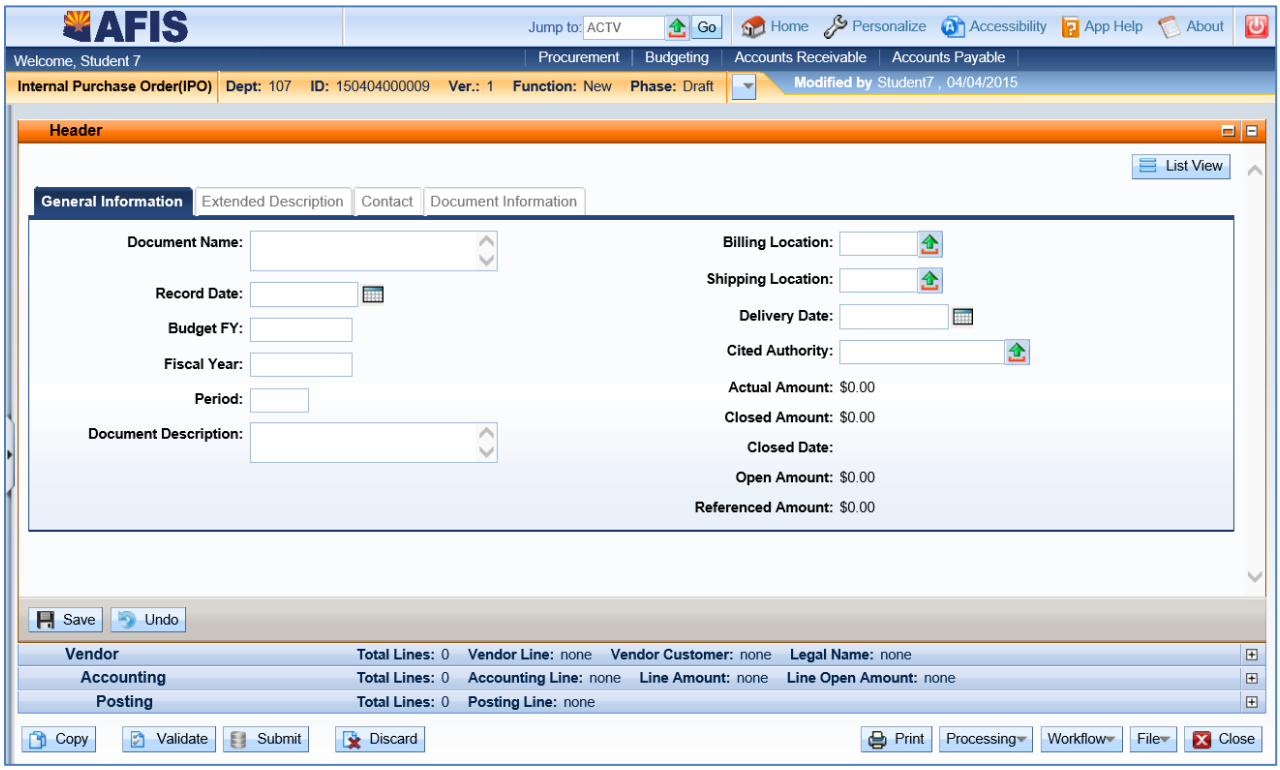


Header

The Header component stores values that apply to all components of the IPO document.

Internal Purchase Order Header – General Information Tab

The General Information tab contains descriptive fields and date information common to most document headers. The Header contains fields for Document Name and Description and displays amounts for the entire document.



Vendor

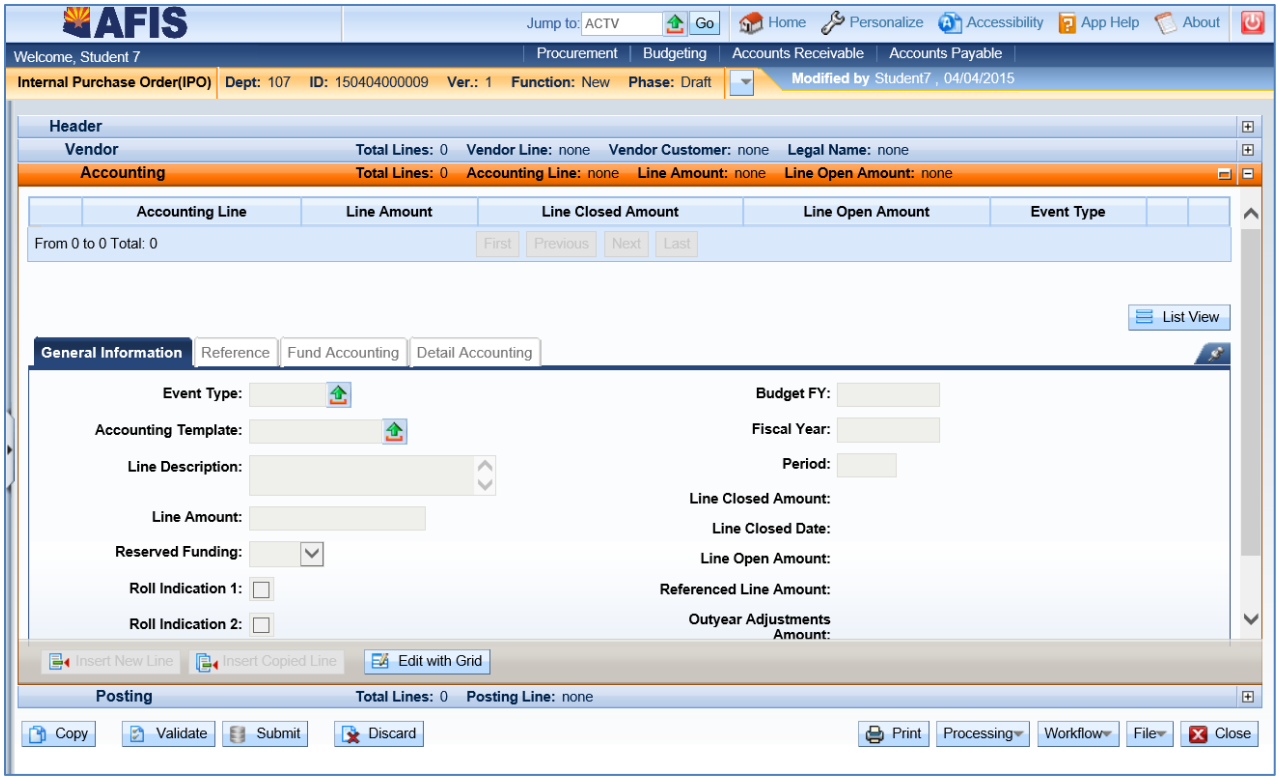
The Vendor component is used for external Vendor information so it will not be used in the internal encumbrance or internal exchange transaction process. Users will only need to insert a line in the Vendor component in order to make the Accounting component available.

Accounting

The Accounting component records the Chart of Accounts information used when posting the IPO document to the Accounting Journal and updating budgets.

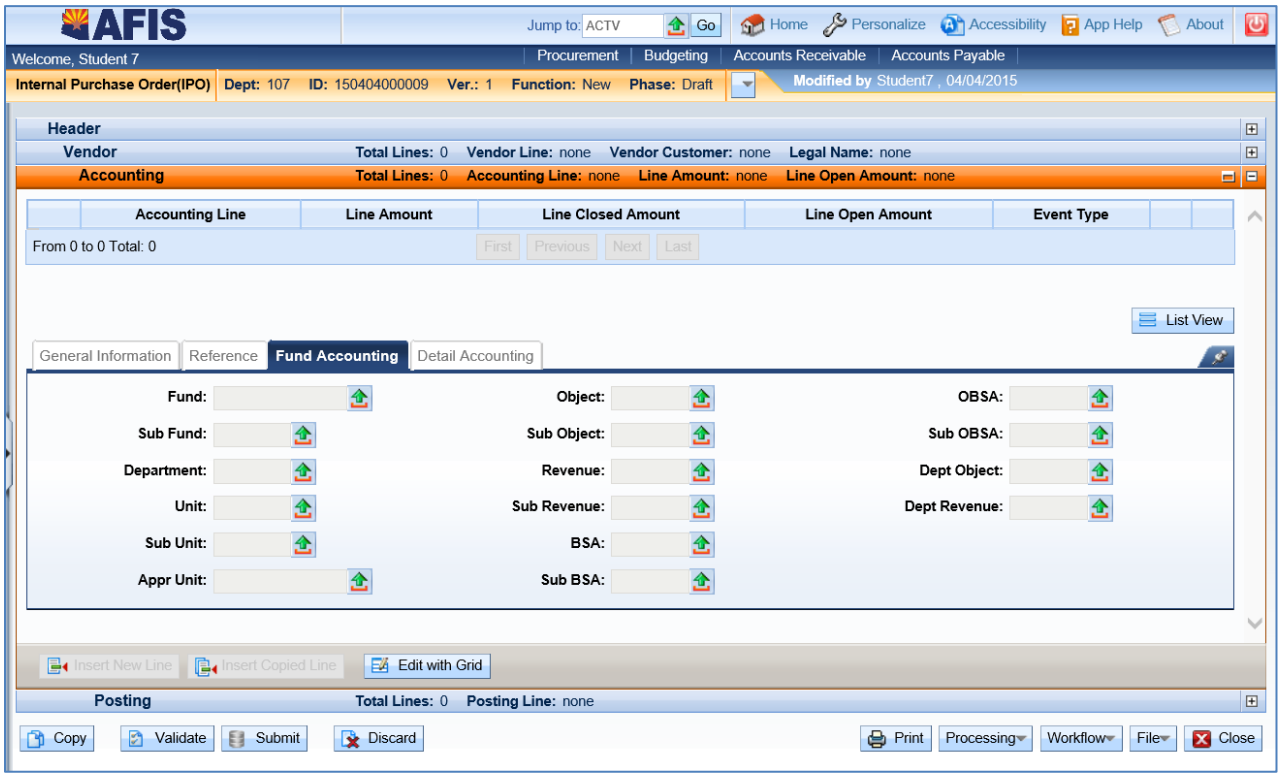
Internal Purchase Order Accounting – General Information Tab

The General Information tab contains descriptive fields and date information. The set of available Event Types in the pick list represent internal encumbrance event codes.



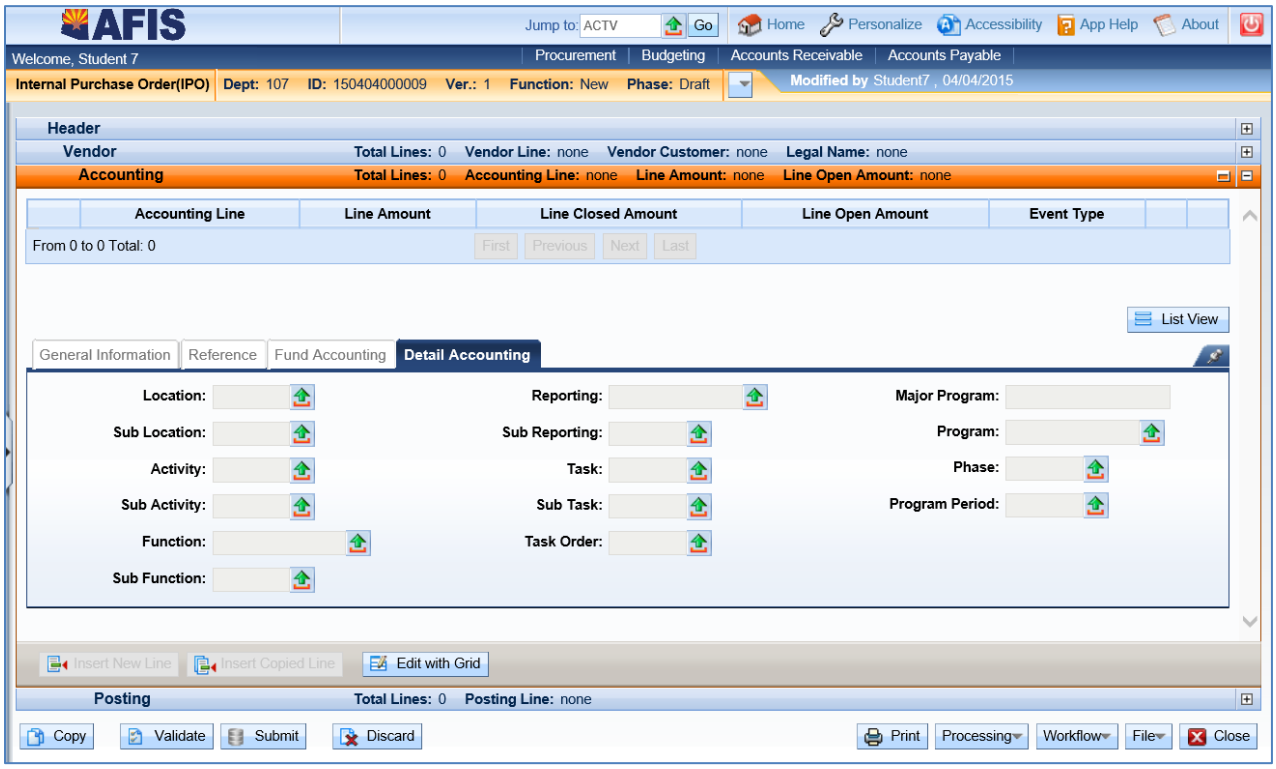
Internal Purchase Order Accounting – Fund Accounting Tab

The Fund Accounting tab contains Chart of Accounts (COA) elements that affect budget structures or accounts that will be updated by the Internal Purchase Order. The COA data entry requirements are controlled by the Event Type entered on the Accounting line.



Internal Purchase Order Accounting – Detail Accounting Tab

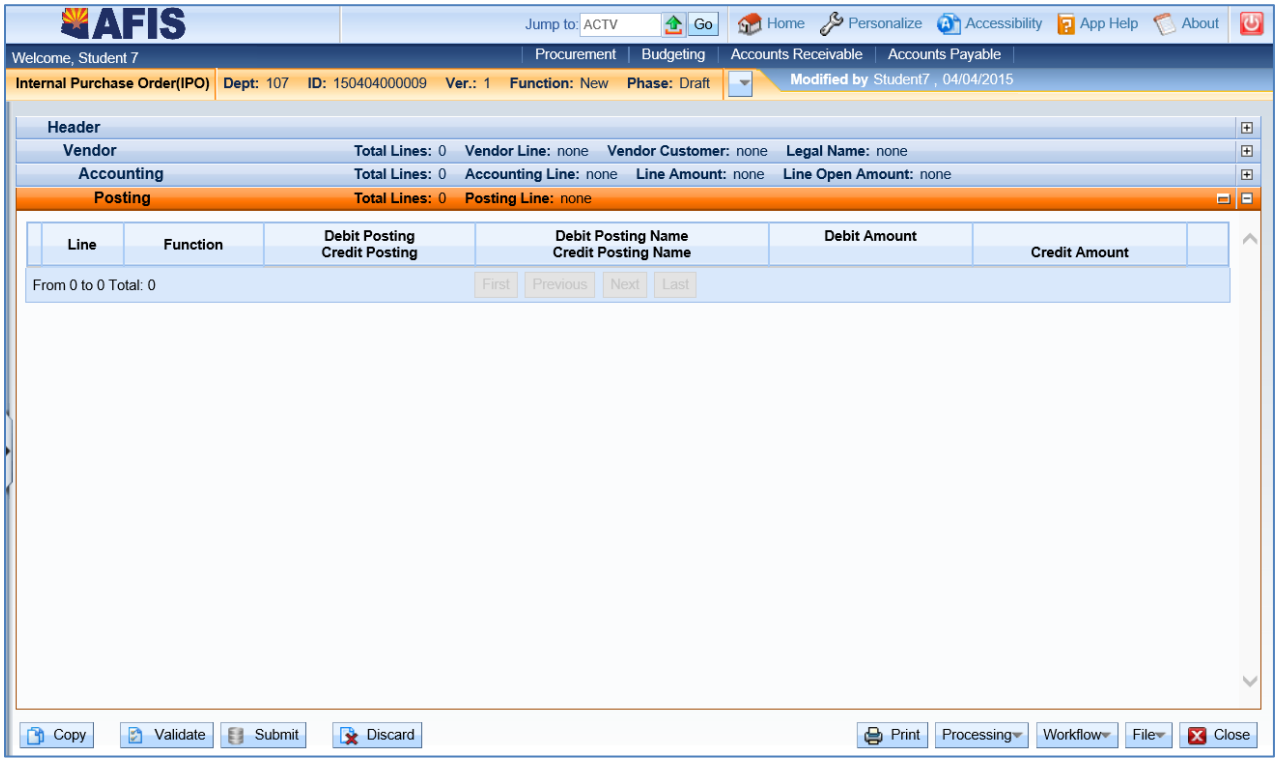
The Detail Accounting tab contains decentralized Chart of Accounts (COA) elements that help to further identify the Internal Purchase Order and apply it to particular Location, Activity, Function, Reporting, Task, and Program codes.



Posting

The Posting component shows the accounting impact of the document. It shows values entered on the other components such as the Chart of Accounts elements, as well as many values that were not entered in the other components. No data can be entered into this component; posting lines are generated from the rest of the document data. Click the Eye icon to expand the posting details.

The Posting component will only show the posting lines for one Accounting Line at a time. To see the Posting Lines for a different Accounting Line, click on the Accounting component, select another Accounting Line, and then click the Posting component.



5.3. Internal Purchase Order Data Entry

The data entry requirements for an Internal Purchase Order document are minimal. The two components that require the user input are the Header and the Accounting components.

Header

In the Header component of the Internal Purchase Order, the only required field is the field on the General Information tab. Users can enter a date or allow this field to default based on the current system date when the document is submitted.

- **Record Date** – Enter a date or allow the system to default during document submission
- **Budget FY** – Enter a year or allow the system to default based on the Record Date
- **Fiscal Year** – Enter a year or allow the system to default based on the Record Date
- **Period** – Enter a valid value or allow the system to default based on the Record Date

Vendor

The Vendor component is not used on the Internal Purchase Order. Users must insert a line in the Vendor component because the Vendor line contains the Accounting lines below it. However, after

inserting a line on the Vendor component, all fields are left blank and the user continues data entry on the Accounting lines.

Accounting

The Accounting component is the where the majority of the data entry takes place. Users must first insert a line and then complete the required fields on the General Information and Fund Accounting tabs.

Accounting – General Information

The required fields on the General Information tab are:

- **Event Type** – Enter an appropriate Event Type or select one from the pick list
- **Line Amount** – Enter an amount for the current line

The other fields on the General Information tab are optional, and include description and date information. This tab is also where the user can select an Accounting Template which will infer COA elements on the Fund Accounting and/or Detail Accounting tabs.

Accounting – Fund Accounting

The required fields on the Fund Accounting tab are:

- **Fund** – Enter the Fund code
- **Department** – Enter the Department code
- **Unit** – Enter the Department Unit
- **Appr Unit** – Enter the Appropriation Unit code
- **Object** – Enter the Object code
- **Task** – Enter the Task

The other fields on the Fund Accounting tab are optional but may be used to further identify the COA elements on the transaction.

Accounting – Detail Accounting

All of the fields on the Detail Accounting tab are optional; however the Function field can be used to infer the necessary COA elements.

Posting

No data can be entered into this component; posting lines are generated from the rest of the document data.

5.4. Create an Internal Purchase Order

An internal transaction may or may not include an encumbrance for the buyer department. When an encumbrance is required, it is the buyer department (sending a payment) that creates the Internal

Purchase Order (IPO) document. Internal Purchase Order documents are created by navigating to the Document Catalog and creating a new document. When submitted and approved by the department level approver, the document updates the Accounting Journal (JACTG).

ACTIVITY 5.4

Create an Internal Purchase Order (IPO) Document

Scenario

You have received a request to create an Internal Purchase Order (IPO) to record an internal encumbrance on funds.

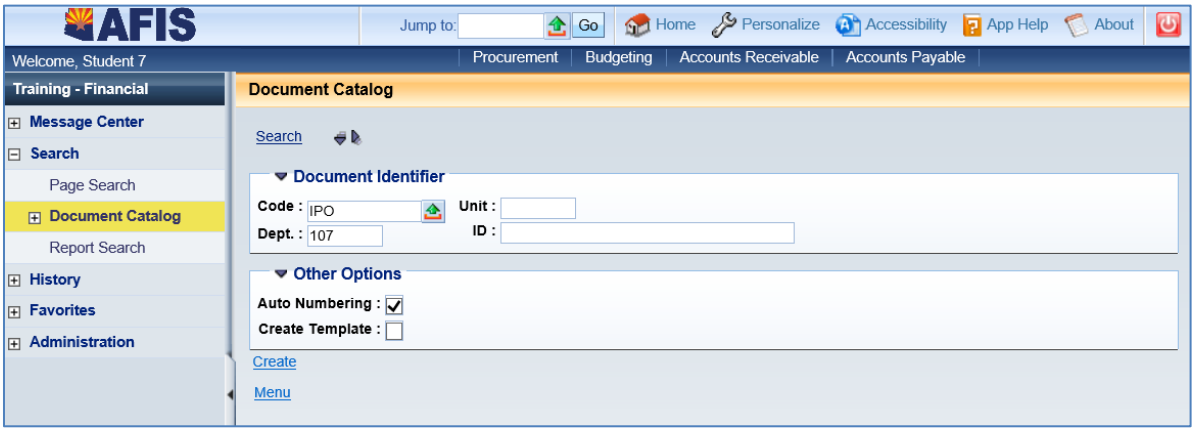
Setup

- ✓ User is logged into the AFIS Home Page.

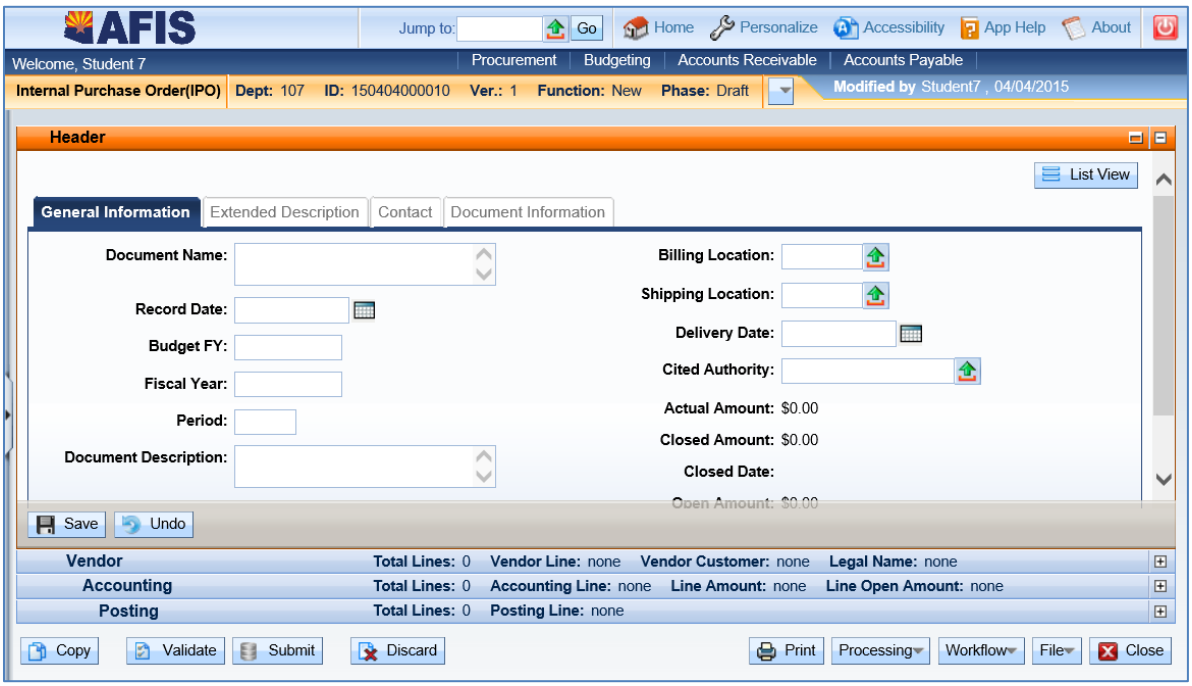
Steps

A. Create a new Internal Purchase Order document.

1. In the Secondary Navigation Panel, click **Search**.
2. Click **Document Catalog**.
3. Click the **Create** link.
4. In the **Document Code** field, enter ***IPO***.
5. In the **Dept** field, enter the data from ***your student data card***.
6. Check the box for **Auto Numbering**.

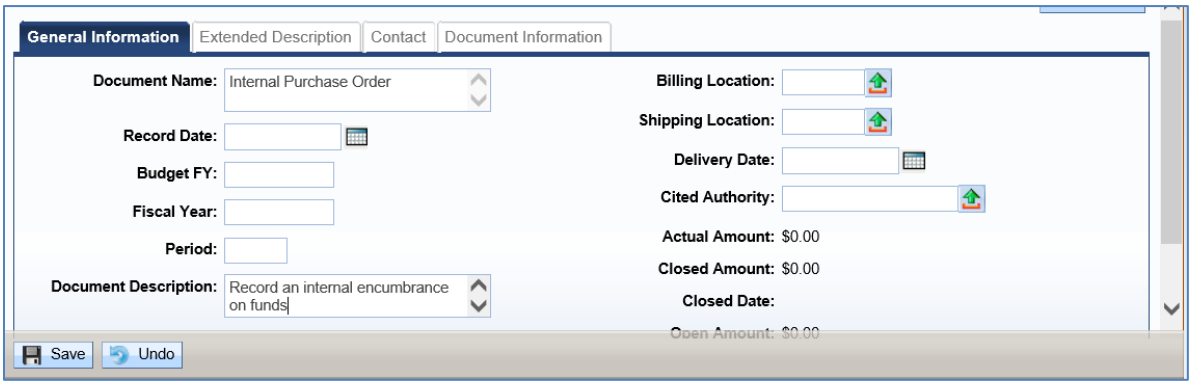


7. Click **Create**. The new IPO document opens to the Header component.



B. Complete the Header component of the document.

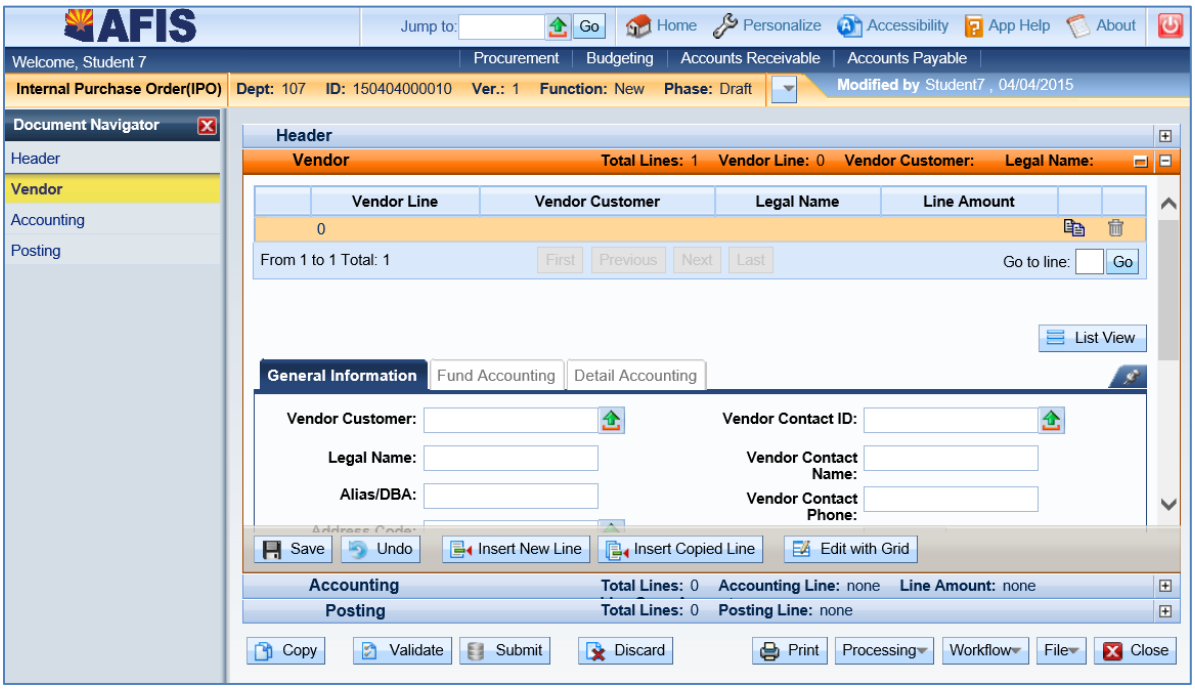
1. In the Header component, on the General Information tab, in the **Document Name** field, enter ***Internal Purchase Order***.
2. In the **Document Description** field, enter ***Record an internal encumbrance on funds***.



C. Navigate to and complete the Vendor component of the document.

1. On the left side of the screen, click the **Open Document Navigator** arrow.
2. In the Document Navigator Panel, click **Vendor**.

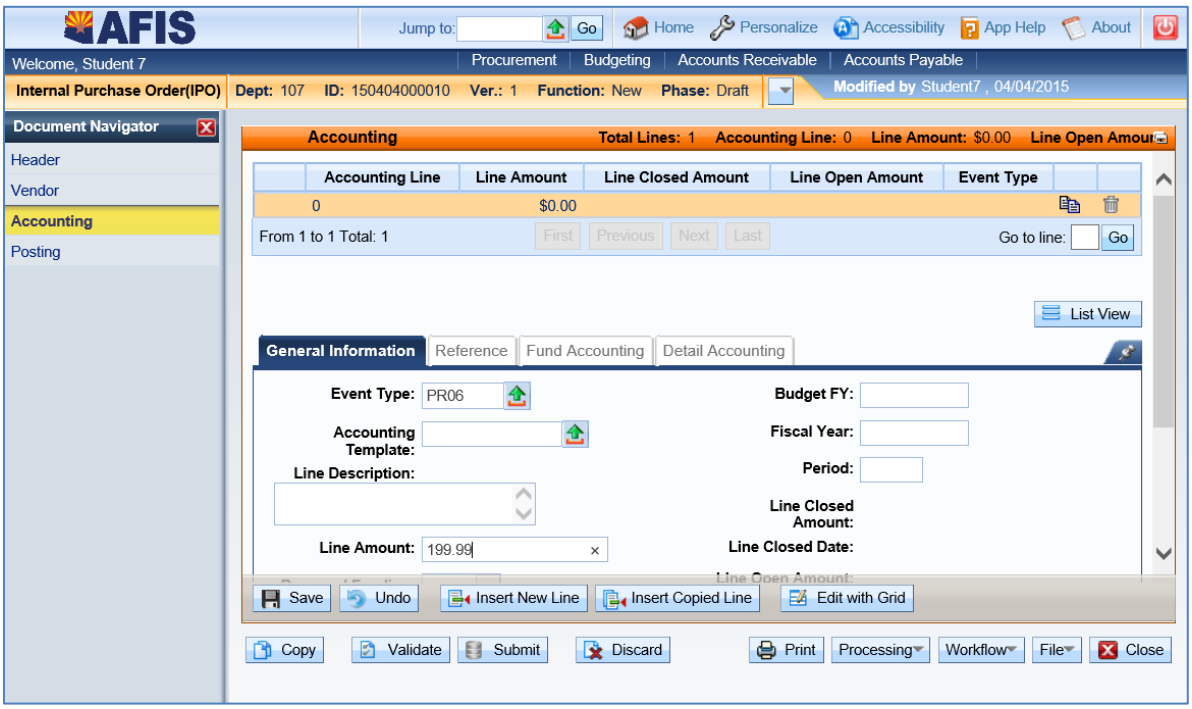
3. In the Vendor component, click the **Insert New Line** button (note: do not enter any Vendor Information).



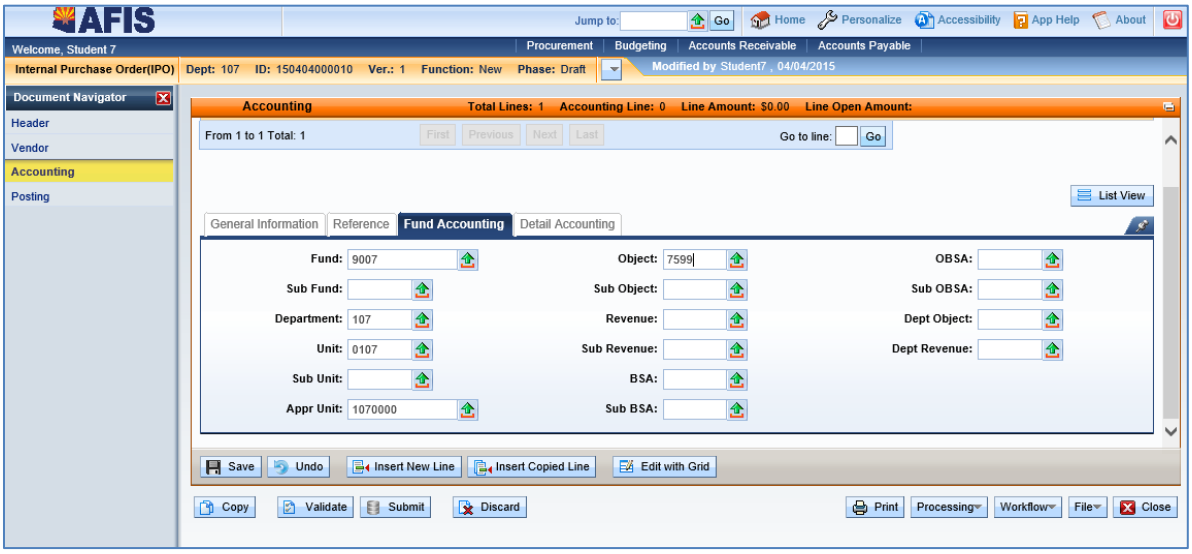
D. Navigate to and complete the Accounting component of the document.

1. In the Document Navigator Panel, click **Accounting**.
2. In the Accounting component, click the **Insert New Line** button.
3. On the General Information tab, in the **Event Type** field, enter ***PR06.***

4. In the **Line Amount** field, enter ***$199.99.***

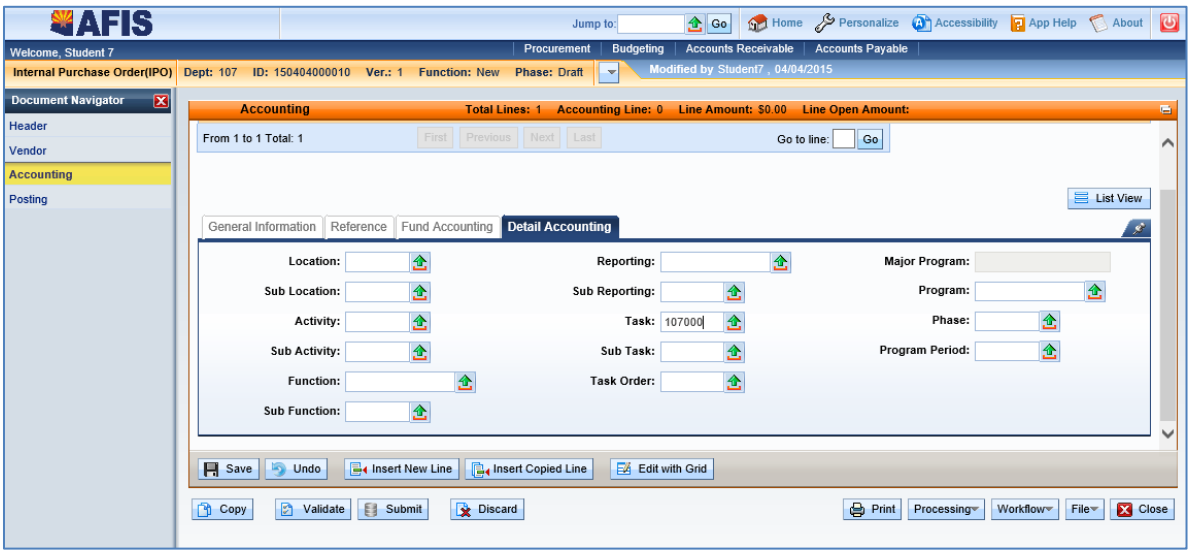


5. Click the **Fund Accounting** tab.
6. In the **Fund** field, enter the data from ***your student data card.***
7. In the **Department** field, enter the data from ***your student data card.***
8. In the **Unit** field, enter the data from ***your student data card.***
9. In the **Appr Unit** field, enter the data from ***your student data card***
10. In the **Object** field, enter ***7599.***



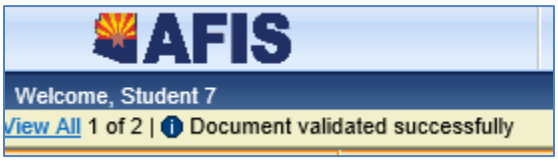
11. Click the **Detail Accounting** tab.

12. In the **Task** field, enter the data from ***your student data card.***

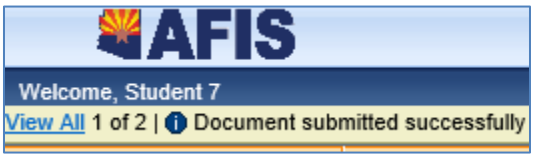


E. Check the IPO document for errors and submit it.

1. Click the **Validate** button to check for errors. If any errors exist, fix the errors and click the **Validate** button again. If the validation is successful, the following message is displayed in the upper left corner of the screen: "**Document validated successfully**."



2. Click the **Submit** button to submit the document for approval. If the submission is successful, the following message is displayed in the upper left corner of the screen: "**Document submitted successfully - Pending Approval**."



3. Record the Document ID of this document. #_____

4. Click **Close** to return to the Document Catalog.

5. Click **Home** in the Primary Navigation Panel to return to the Home Page.

5.5. Research Updates Made by Internal Purchase Orders

The Internal Purchase Order (IPO) document updates the Accounting Journal (JACTG) along with other journal and budget tables.

ACTIVITY 5.5
Research the Updates Made by the Internal Purchase Order

Scenario

You want to verify that the Internal Purchase Order exists by searching the Accounting Journal.

Setup

- ✓ User is logged into the AFIS Home Page.

Steps

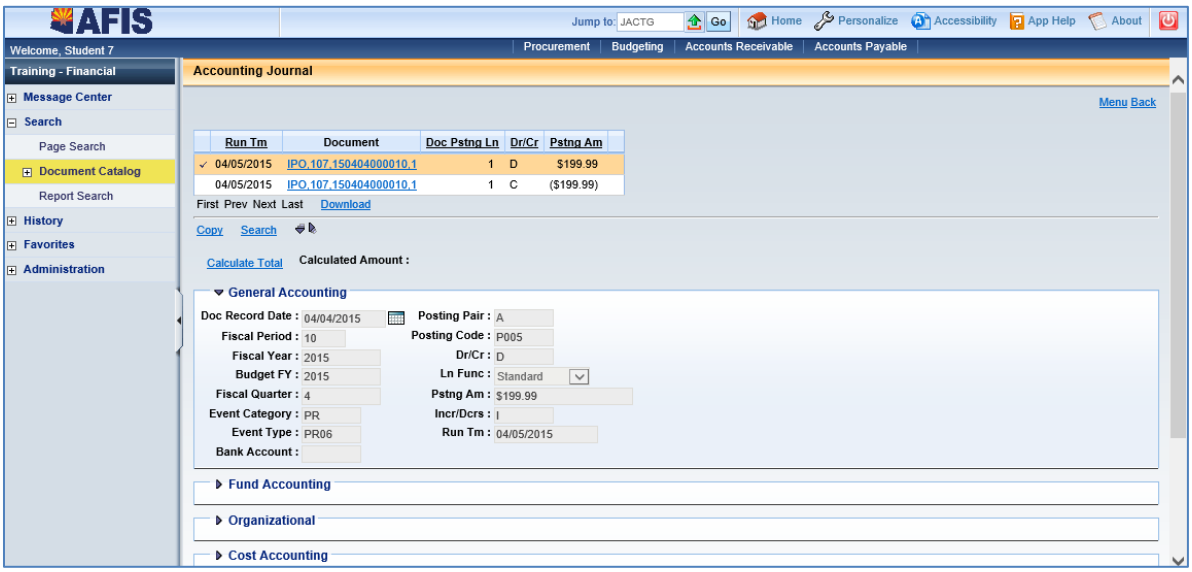
A. Navigate to the Accounting Journal.

1. In the **Jump to** field, enter ***JACTG***.
2. Click **Go**.

B. Search for the Internal Purchase Order document.

1. In the Search window,
2. In the **Department** field, enter the data from ***your student data card.***
3. In the **Doc ID** field, enter the data from ***your student data card***.
4. In the **Doc CD** field, enter ***IPO***

5. Click **Ok**.



C. Observe the document information in the Accounting Journal.

1. Select the line for the IPO document in the grid.
2. Observe the sections displayed in the scalar.
3. Click the **Document** link in the grid. The IPO document opens.
4. Explore the document in read-only mode.

D. Close out and return to the Home Page.

1. Click **Close** in the IPO document screen.
2. Click **Home** in the Primary Navigation Panel to return to the Home Page.

5.6. Modify/Cancel an Internal Purchase Order

When an Internal Purchase Order (IPO) document contains errors, it must be modified or cancelled depending on the document phase. If the document is in Draft phase pending approval, then it can be modified by editing the existing document, or cancelled by discarding the existing document. If the document is in Final phase, then it cannot be edited, it can only be discarded and replaced with a new document. When discarding a document in Final phase, a Cancellation version of the document is created in Draft phase and must be submitted for approval in order to reverse out the changes processed by the original document.

ACTIVITY 5.6

Create a Cancellation Version of an Internal Purchase Order Document

Scenario

You have received a request to cancel an Internal Purchase Order document that was created in error.

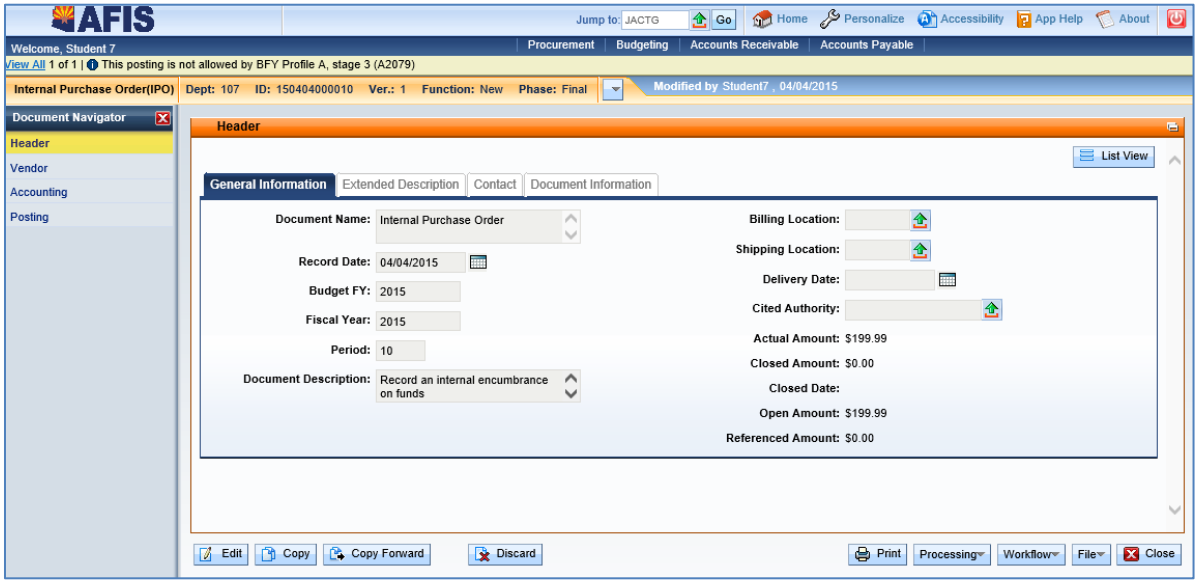
Setup

✓ User is logged into the AFIS Home Page.

Steps

A. Search for the Internal Purchase Order document.

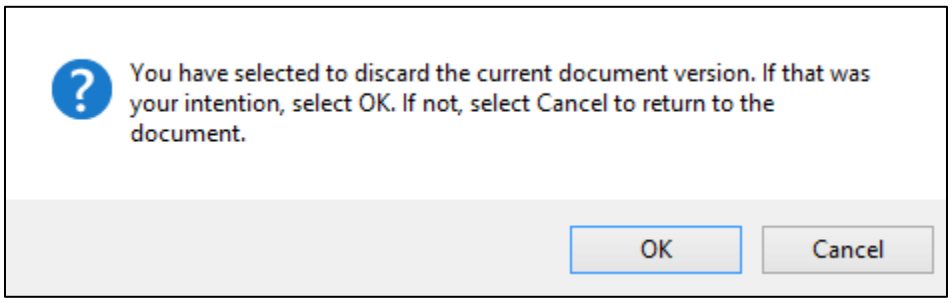
1. In the Secondary Navigation Panel, click **Search**.
2. Click **Document Catalog**.
3. In the **Code** field, enter ***IPO***.
4. In the **Dept.** field, enter the data from ***your student data card***.
5. In the **ID** field, enter the ***Document ID created in Activity 5.4***.
6. Click **Search**.
7. In the grid, click the **ID** link for the IPO document. The document opens.



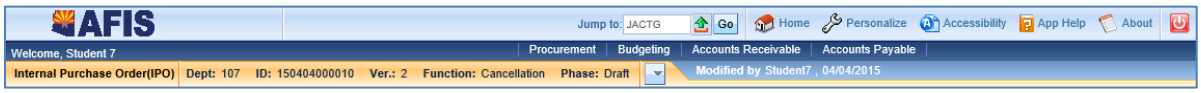
B. Create a cancellation version of the Internal Purchase Order document.

1. In the document, click the **Discard** button.

2. A pop-up window is displayed asking if you are sure, click **Ok**.



3. The new Cancellation version of the document is created in Draft phase.



4. Click **Validate**.
5. If the document validates successfully, click **Submit**.

C. Close out and return to the Home Page.

1. Click **Close** in the IPO document screen.
2. Click **Home** in the Primary Navigation Panel to return to the Home Page.

Lesson Summary

In this lesson, you:

- Identified the State workflow process for Internal Purchase Order documents
- Examined the Internal Purchase Order document
- Created an Internal Purchase Order document
- Researched the updates made by the Internal Purchase Order document
- Cancelled an Internal Purchase Order document

Check Your Progress

1. The Vendor information is required on an Internal Purchase Order.
   a. True
   b. False

2. An Internal Purchase Order _____.
   a. Records a purchase of goods or services
   b. Records a sale of goods or services
   c. Records an internal encumbrance on funds

6. INTERNAL EXCHANGE TRANSACTION

Learning Objectives

In this lesson, you will:

- Identify the State workflow process for Internal Exchange Transaction documents
- Examine the Internal Exchange Transaction document
- Create an Internal Exchange Transaction document
- Research the updates made by the Internal Exchange Transaction document
- Cancel an Internal Exchange Transaction document

Lesson Overview

The Internal Exchange Transaction (IET) document can be used to record both intra-agency and inter-agency fund transfers in a single document. The expectation is that the COA and posting information for both/all parties is known by the creator of the IET document. An IET document can reference and either partially or fully liquidates an Internal Purchase Order (IPO) document.

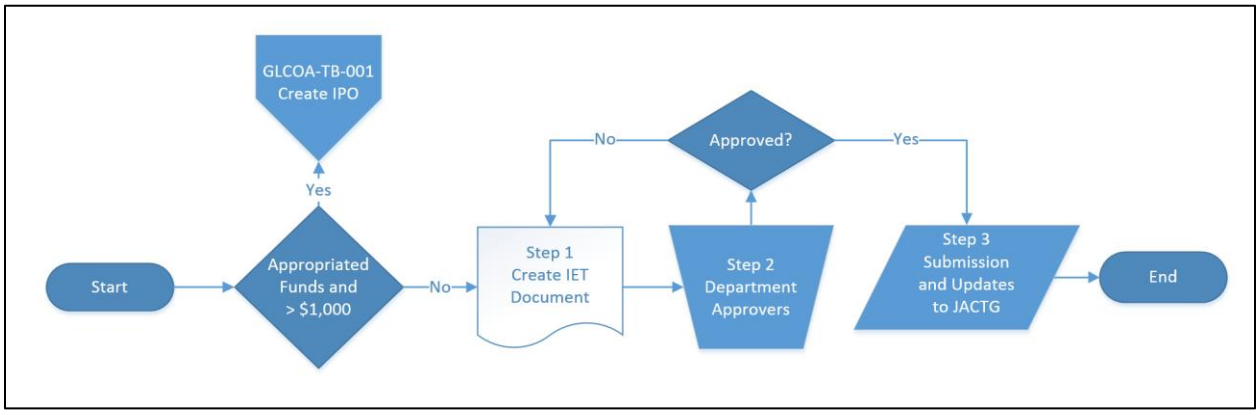
***Note**: The cash edits will not be checked until final approver.*

6.1. State Workflow Approval Process Overview

This is a State designed process. Your department may have different requirements. This process is referenced in GL-TB-002 and represented by Figure 3 below.

1. The department creates an IET based transaction that can adjust upwards or downwards expenditures and/or revenues. The user may also 'memo' reference another transaction for audit trail purposes (for example: payment previously paid out of an incorrect funding stream).
2. The initiating department is responsible for review and approval of the transaction. If the transaction is setup incorrectly, the approver may reject the transaction back to Step 1 of the process. If the review and approval finds the document information complete, then proceed to Step 3.
3. The final approver in the process approves the transaction and the document is submitted to final status and updates the appropriate Accounting Journals and Budget Structures/Inquires.

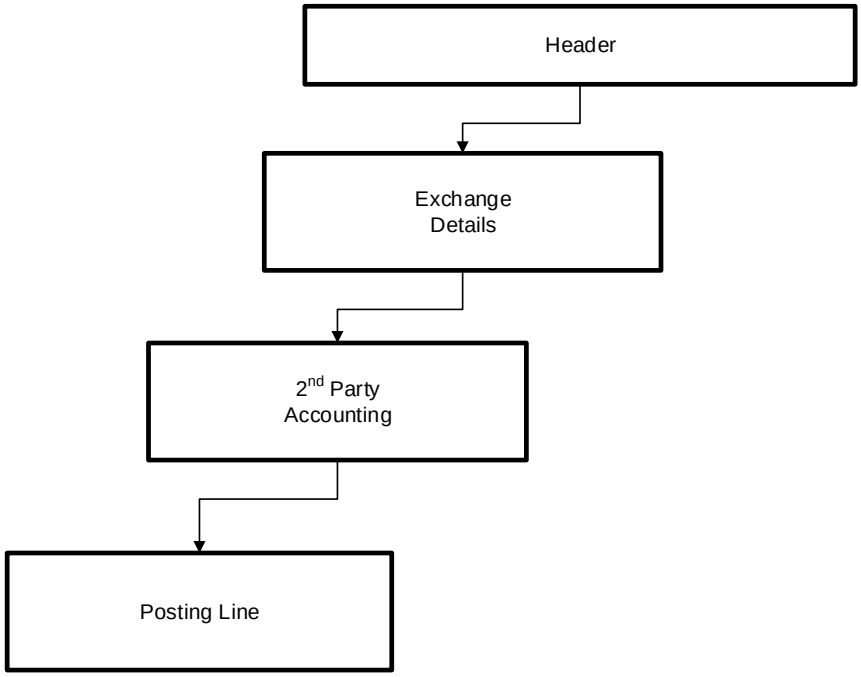
Figure 3: Workflow Process Diagram for IET Document (GL-TB-002)



6.2. Internal Exchange Transaction Document Components

Documents in AFIS contain various components (sometimes referred to as 'sections'). Internal Exchange Transaction (IET) documents contain four components. Figure 4 illustrates the relationship between these components.

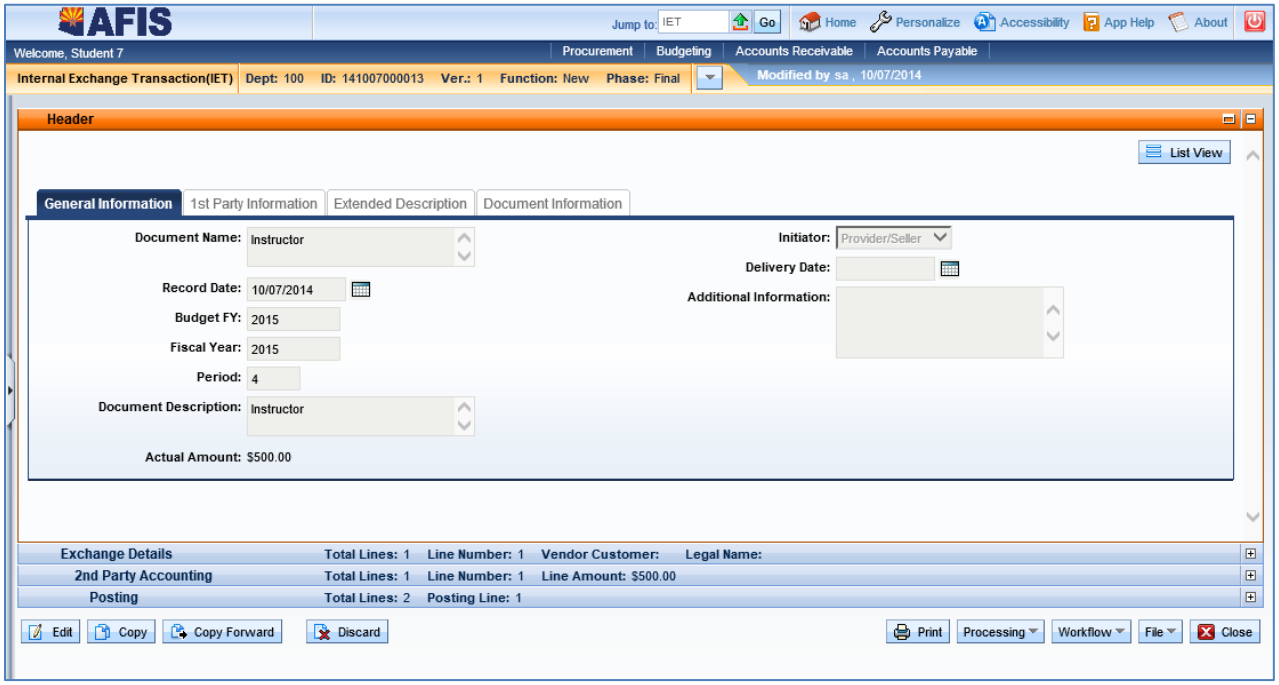
Figure 4: IET Document Component Structure



Internal Exchange Transaction Header

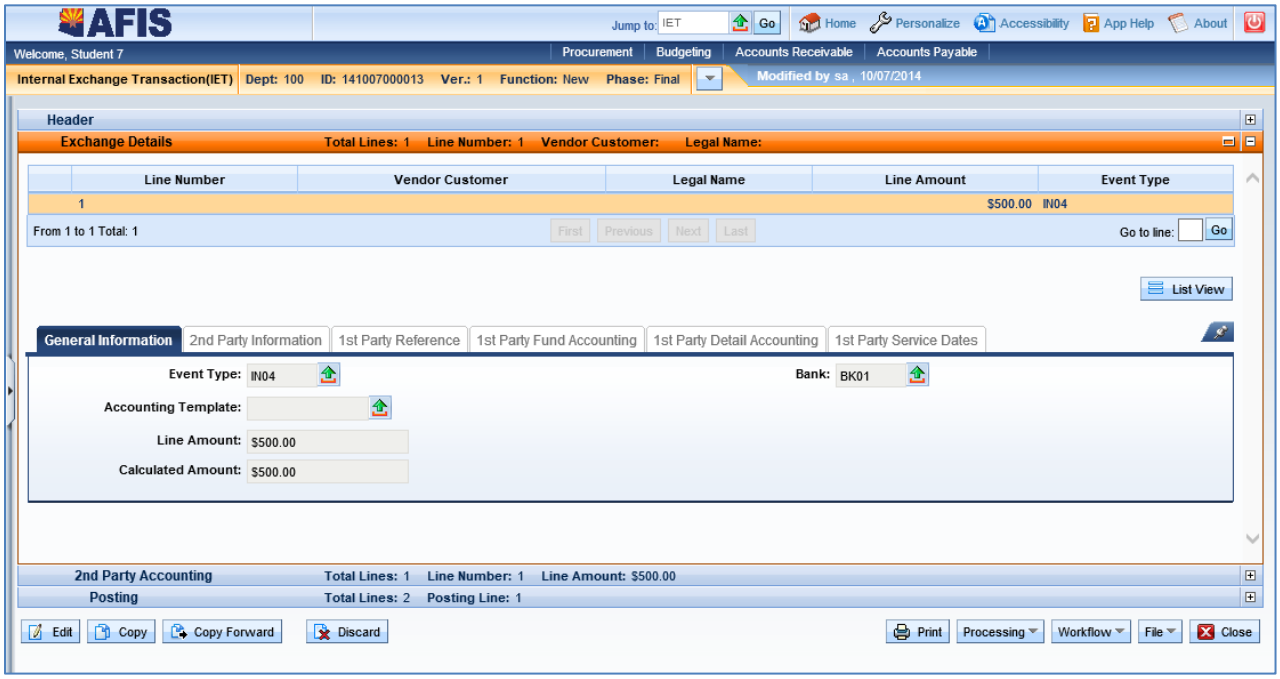
The Internal Exchange Transaction Header component contains information that applies to the entire document and has four tabs: General Information, 1st Party Information, Extended Description, and

Document Information. The General Information tab is generally the only tab in the Header that users will need to complete and is where users can enter Document Name, Document Description, and Date information. The field for selecting the document Initiator is also on the General Information tab. The Initiator is either the Provider/Seller (default) or the Receiver/Buyer. On the IET document, both party's information is entered into the same document and the Initiator field corresponds to the 1st party's information.



Internal Exchange Transaction Exchange Details

The Exchange Details section on the IET has some unique features. The Exchange Details component contains tabs for General Information, 2nd Party Information, 1st Party Reference, 1st Party Fund Accounting, 1st Party Detail Accounting, and 1st Party Service Dates. The General Information tab has fields for selecting an Event Type and an Accounting Template, as well as a field for the Line Amount. If the IET document references another document, that information is entered on the 1st Party Reference tab. The COA elements for the initiator party are entered on the 1st Party Fund Accounting and 1st Party Detail Accounting tab if necessary.



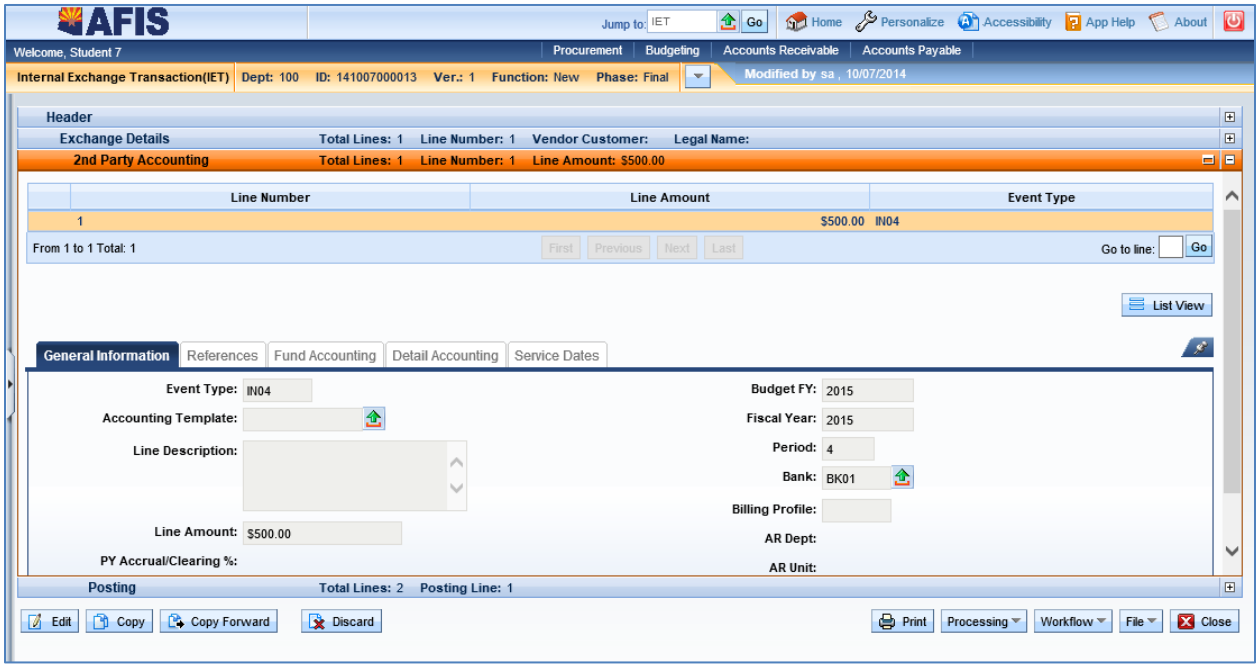
Internal Exchange Transaction - Event Types

The available Event Types for the IET documents are:

- INZ1 - Expenditure Transfer
- INZ2 - Revenue Transfer (Residual Equity)
- INZ3 - Expenditure to Revenue Transfer
- INZ4 - Asset Transfer
- INZ5 - Liability Transfer
- INZ6 - Asset to Liability Transfer
- INZ7 - Liability to Revenue Transfer
- INZ8 - Asset to Revenue Transfer
- INZ9 - Asset to Expenditure Transfer
- INZ0 - Liability to Expenditure Transfer

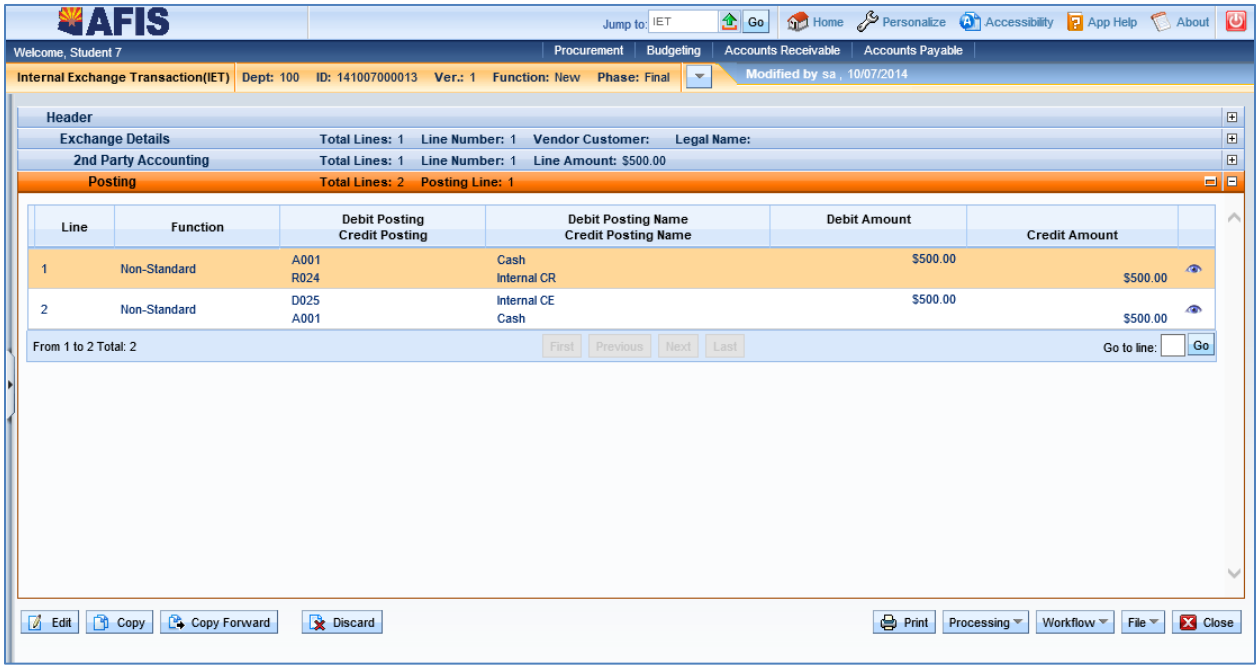
Internal Exchange Transaction 2nd Party Accounting

The 2nd Party Accounting component contains tabs for collecting the information on the 2nd Party in the transaction. In this component, the General Information, Reference, Fund Accounting, Detail Accounting, and Service Dates tabs are available. An Accounting Template or Function can be used on the 2nd Party Accounting component to infer the COA elements on the Fund Accounting and Detail Accounting tabs.



Internal Exchange Transaction Posting

The Posting line does not require data entry by the user, it displays information that is gathered from the other components of the document. Posting lines contain a summary of the Function, and Debit/Credit posting codes and amounts contained in the Internal Exchange Transaction. The Eye icon on the right displays the details for each posting line, reflecting the General Information, Fund Accounting, and Detail Accounting for the Internal Exchange Transaction.



6.3. Internal Exchange Transaction Data Entry

The data entry process for the Internal Exchange Transaction document requires that the user know the COA information for both parties in the transaction.

Header

In the Header component of the Internal Exchange Transaction document, the only required fields are the Record Date and Initiator fields on the General Information tab. For the Record Date field, users can enter a date or allow this field to default based on the current system date when the document is submitted. For the Initiator field, the default is set to Provider/Seller, but can be changed to Receiver/Buyer.

- **Record Date** – Enter a da te or allow the system to default during document submission
- **Budget FY** – Enter a year or allow the system to default based on the Record Date
- **Fiscal Year** – Enter a year or allow the system to default based on the Record Date
- **Period** – Enter a valid value or allow the system to default based on the Record Date

Exchange Details

The Exchange Details component is where the Initiator or 1st Party information is entered. Users first must insert a line to begin data entry in this component.

Exchange Details – General Information

The required fields on the General Information tab are:

- **Event Type** – Enter an appropriate Event Type or select one from the pick list
- **Line Amount** – Enter an amount for the current line

The other fields are optional, but the Accounting Template field can be useful for inferring COA elements on the 1st Party Fund Accounting tab.

Exchange Details – 1st Party Fund Accounting

On the 1st Party Fund Accounting tab, the fields can either be inferred by the Accounting Template or entered by the user. The required fields on this tab are:

- **Fund** – Enter the Fund code
- **Department** – Enter the Department code
- **Unit** – Enter the Unit code
- **Appr Unit** – Enter the Appropriation Unit code
- **Object** – This field is conditionally required based on the Initiator or Event Type entered
- **Revenue** – This field is conditionally required based on the Initiator or Event Type entered

2nd Party Accounting

The 2nd Party Accounting component contains information that pertains to the 2nd Party in the transaction. Users must first insert a line and then complete the required fields on the General Information and Fund Accounting tabs.

2nd Party Accounting – General Information

The required fields on the General Information tab are:

- **Event Type** – Enter an appropriate Event Type or select one from the pick list
- **Line Amount** – Enter an amount for the current line

The other fields on the General Information tab are optional, and include description and date information. This tab is also where the user can select an Accounting Template which will infer COA elements on the Fund Accounting and/or Detail Accounting tabs.

Accounting – Fund Accounting

The required fields on the Fund Accounting tab are:

- **Fund** – Enter the Fund code
- **Department** – Enter the Department code
- **Unit** – Enter the Unit code
- **Appr Unit** – Enter the Appropriation Unit code
- **Object** – This field is conditionally required based on the Initiator or Event Type entered
- **Revenue** – This field is conditionally required based on the Initiator or Event Type entered

The other fields on the Fund Accounting tab are optional but may be used to further identify the COA elements on the transaction.

Accounting – Detail Accounting

All of the fields on the Detail Accounting tab are optional, however the Function field can be used to infer the necessary COA elements.

Posting

No data can be entered into this component; posting lines are generated from the rest of the document data.

6.4. Create an Internal Exchange Transaction

Internal Exchange Transaction (IET) documents are created using application pages stored in the Document Catalog. The IET document initiator is either the Provider/Seller (Vendor) or the Receiver/Buyer (Customer). This information is recorded in the Header component Initiator field, the default is set to Provider/Seller. The value selected for the Initiator field determines which party's COA information is entered in the 1st party and 2nd party information components in the document.

When submitted and approved by the department level approver, the document updates the Accounting Journal (JACTG) and associated tables.

ACTIVITY 6.4

Create an Internal Exchange Transaction (IET) Document

Scenario

You have received a request to create an Internal Exchange Transaction (IET) document to record an internal transfer of funds.

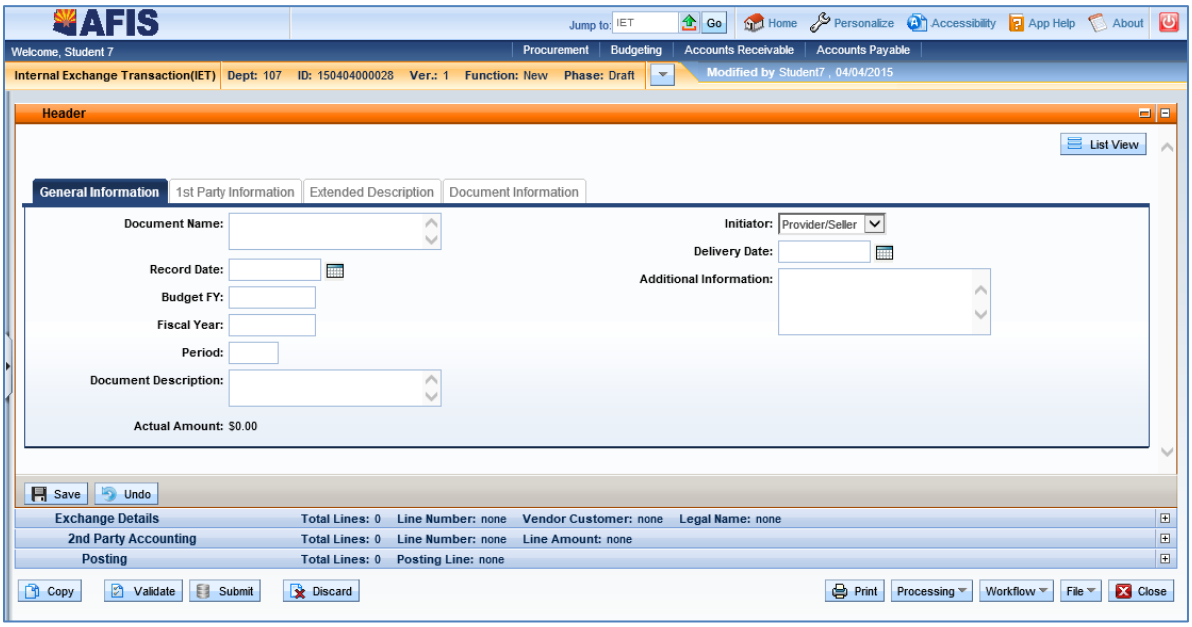
Setup

✓ User is logged into the AFIS Home Page.

Steps

A. Create a new Internal Exchange Transaction document.

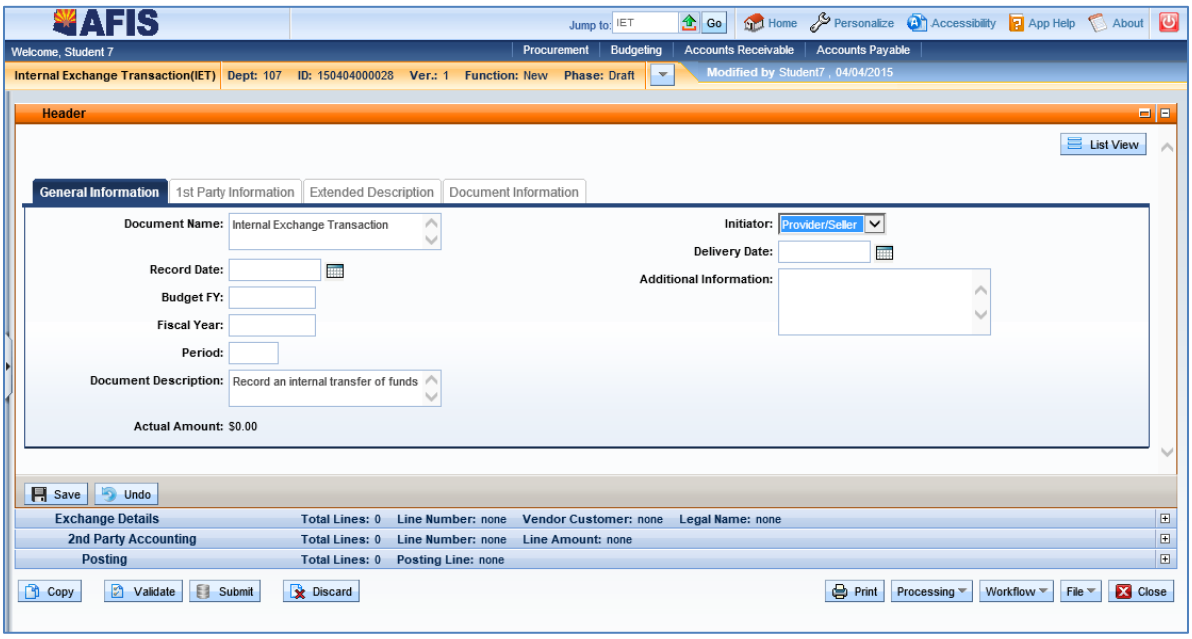
1. In the Secondary Navigation Panel, click **Search**.
2. Click **Document Catalog**.
3. Click the **Create** link.
4. In the **Code** field, enter ***IET***.
5. In the **Dept** field, enter the data from ***your student data card***.
6. Check the box for **Auto Numbering**.
7. Click **Create**. The new IET document opens to the Header component.



B. Complete the Header component of the document.

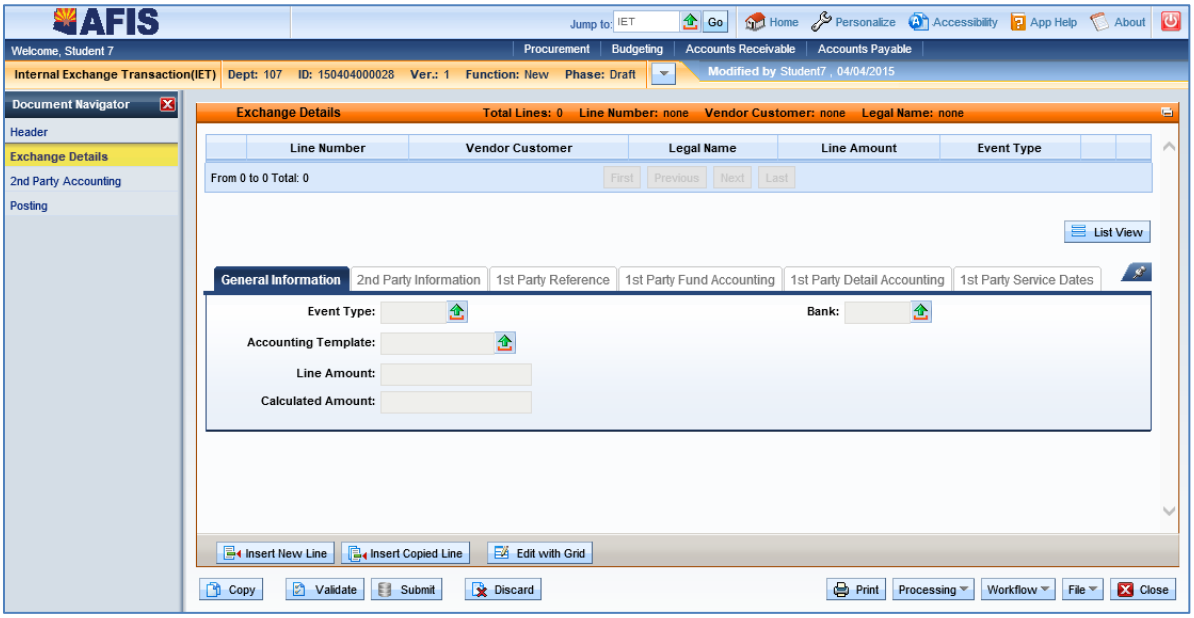
1. In the Header component, on the General Information tab, in the **Document Name** field, enter ***Internal Exchange Transaction***.
2. In the **Document Description** field, enter ***Record an internal transfer of funds***.

3. In the Initiator field, select **Provider/Seller**.



C. Navigate to the Exchange Details component.

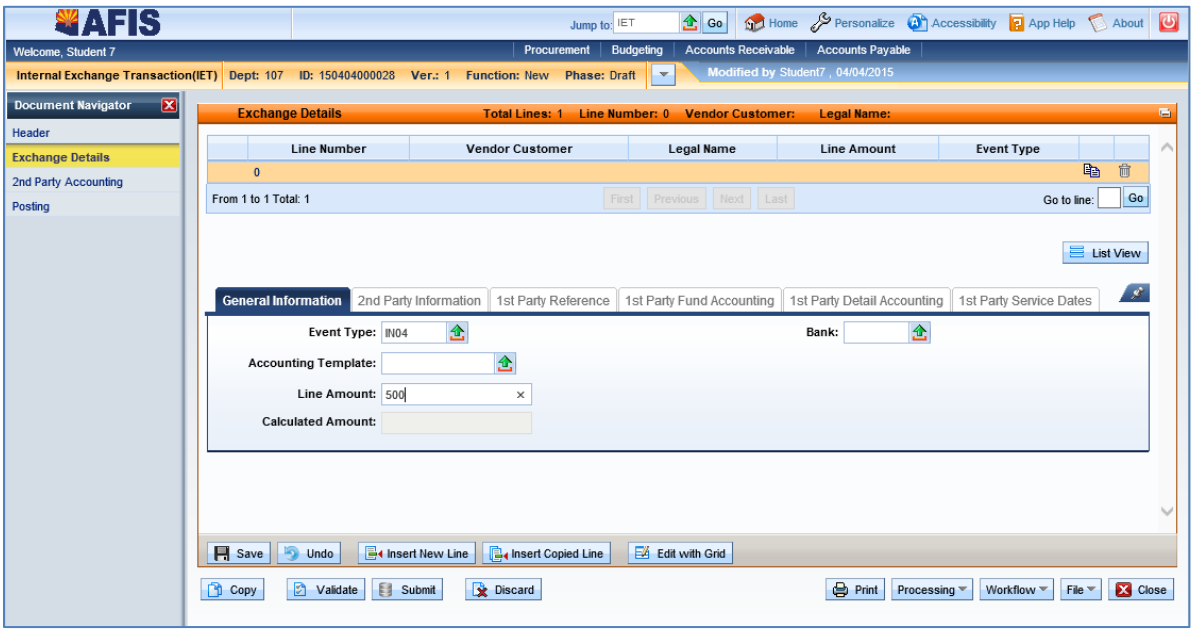
1. On the left side of the screen, click the **Open Document Navigator** arrow.
2. In the Document Navigator Panel, click **Exchange Details**.



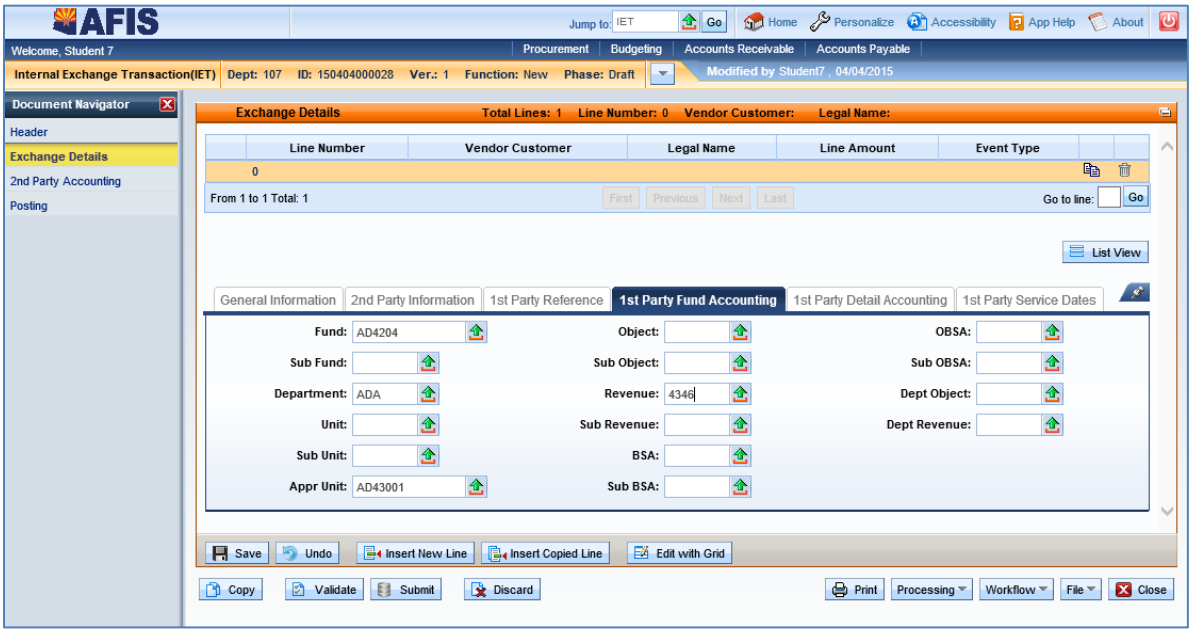
D. Complete the Exchange Details component of the document.

1. In the Exchange Details component, click the **Insert New Line** button.
2. On the General Information tab, in the **Event Type** field, enter ***IN04.***

3. In the **Line Amount** field, enter ***$500***.

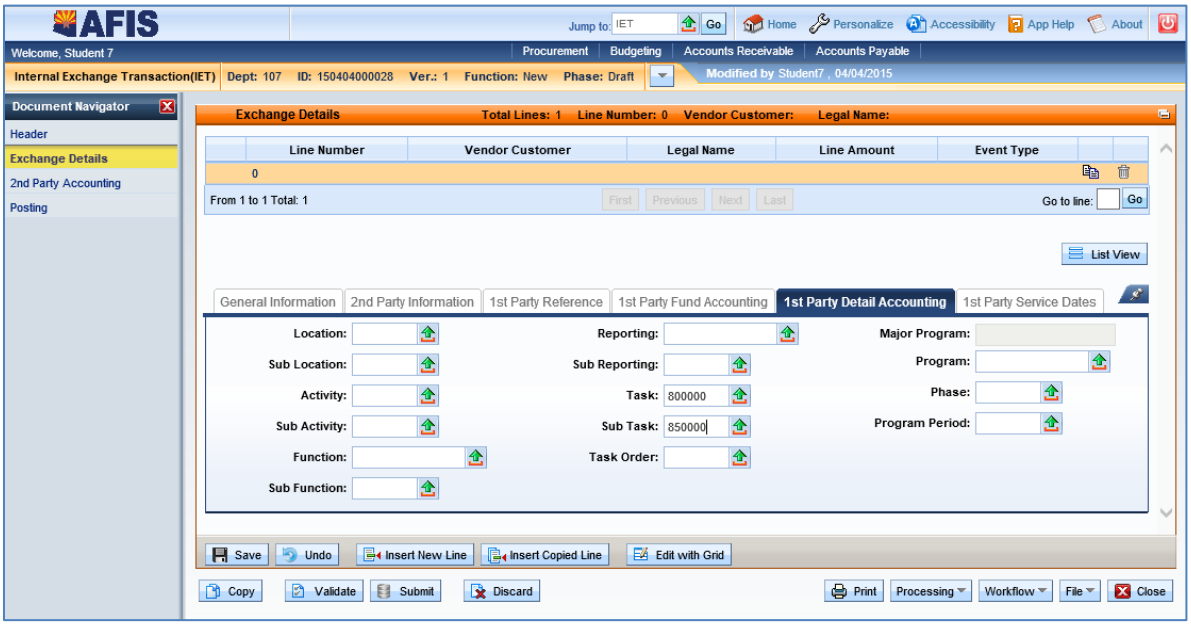


4. Click the **1st Party Fund Accounting** tab.
5. In the **Fund** field, enter ***AD4204.***
6. In the **Department** field, enter ***ADA.***
7. In the **Unit** field, enter ***2700.***
8. In the **Appr Unit** field, enter ***AD43001.***
9. In the **Revenue** field, enter ***4346.***



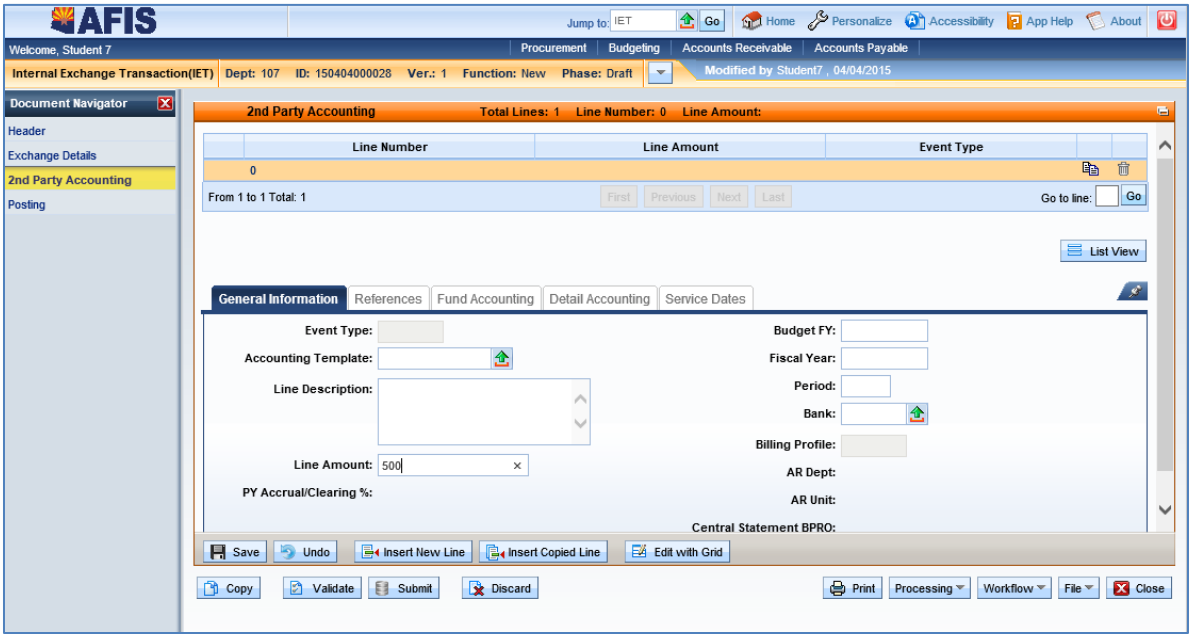
10. Click the **1st Party Detail Accounting** tab

11. In the **Task** field, enter ***800000***.
12. In the **Sub Task** field, enter ***850000.***



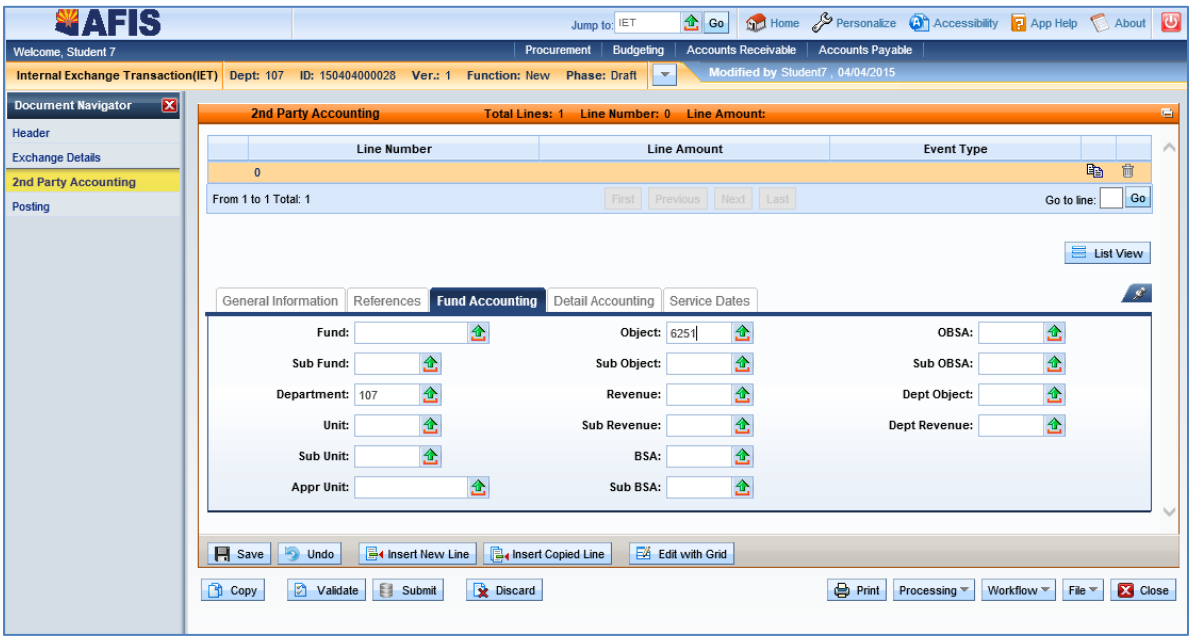
E. Navigate to and complete the **2nd Party Accounting** component of the document.

1. In the Document Navigator Panel, click **2nd Party Accounting**.
2. In the Accounting component, click the **Insert New Line** button.
3. In the **Line Amount** field, enter ***$500.***



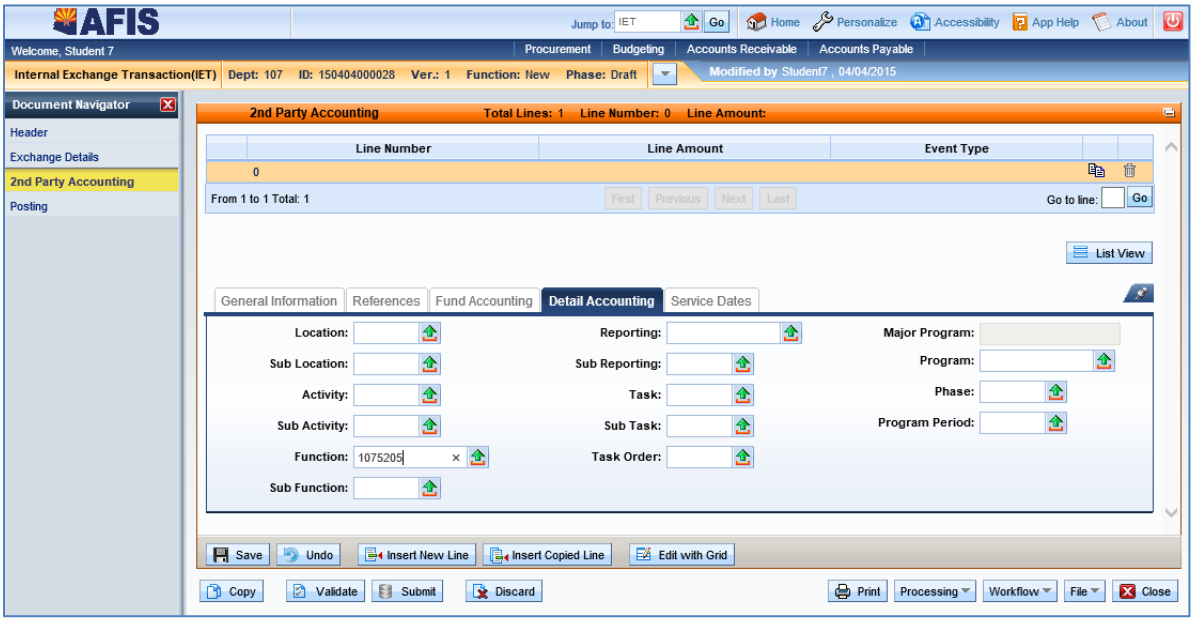
4. Click the **Fund Accounting** tab.
5. In the **Department** field, enter the data from ***your student data card.***

6. In the **Object** field, enter ***6251***.



7. Click the **Detail Accounting Tab**

8. In the **Function** field, enter the data from ***your student data card***.



F. Check the IET document for errors and submit it.

1. Click the **Validate** button to check for errors. If any errors exist, fix the errors and click the **Validate** button again. If the validation is successful, the following message is displayed in the upper left corner of the screen: "**Document validated successfully**."

2. Click the **Submit** button to submit the document for approval. If the submission is successful, the following message is displayed in the upper left corner of the screen: "**Document submitted successfully - Pending Approval**."
3. Click **Close** to return to the Document Catalog.
4. Click **Home** in the Primary Navigation Panel to return to the Home Page.

6.5. Research Updates Made by Internal Exchange Transactions

The Accounting Journal (JACTG) query page is the main source of detailed transaction data. Users can navigate to the Accounting Journal by using the Jump to field in the Primary Navigation Panel, or the Page Search feature on the Secondary Navigation Panel. The Accounting Journal search feature enables users to narrow down the list of documents displayed. Once the document is located, the information can be reviewed for accuracy.

6.6. Cancel an Internal Exchange Transaction

When an Internal Exchange Transfer document has been completed incorrectly, there are several ways to correct the error depending on which document method was used and where in the workflow the transaction currently sits.

Examples

When using the Internal Exchange Transaction document to complete a transfer:

1. The reviewer/approver discovers errors in the pending IET document
2. The IET document is rejected
3. It returns to the workflow for editing and resubmission
4. The IET is resubmitted for approval

When an IET transaction has been completed and approved, but needs to be cancelled:

1. The IET document is opened
2. The IET document is discarded
3. A Cancellation Draft is created to cancel out the previous document
4. The Cancellation Draft is submitted and approved

When an IET transaction has been completed and approved, but needs to be fully or partially reversed:

1. A new IET document is created
2. Fund Accounting information is reversed
3. Appropriate amounts are entered to fully or partially reverse the error
4. The new IET document is submitted and approved

Lesson Summary

In this lesson, you:

- Identified the State workflow process for Internal Exchange Transaction documents
- Examined the Internal Exchange Transaction document
- Created an Internal Exchange Transaction document
- Researched the updates made by the Internal Exchange Transaction document
- Cancelled an Internal Exchange Transaction document

Check Your Progress

1. The IET document is created by multiple departments who each enter their own information.
    a. True
    b. False
2. All of the following are components of an IET document except
    a. Header
    b. Vendor
    c. Posting
    d. 2nd Party Accounting

7. INTER-AGENCY TRANSFER

Learning Objectives

In this lesson, you will:

- Identify the State workflow process for Inter-Agency Transfer Expenditure documents
- Examine the Inter-Agency Transfer Expenditure documents
- Create an Internal Transaction Initiator document
- Create an Internal Transaction Agreement document
- Research the updates made by the Inter-Agency Transfer Expenditure documents
- Review the Inter-Agency Transfer Operating documents
- Review the Inter-Agency Transfer Balance Sheet documents
- Cancel an Inter-Agency Transfer Expenditure document

Lesson Overview

A transfer of funds between agencies can begin with or without the creation of an encumbrance document. If no encumbrance is needed, the process begins with the creation of an Internal Transaction Initiator (ITI) document which is then copied forward to an Internal Transaction Agreement (ITA) document. If an Internal Purchase Order (IPO) has been created, it can then be used as a reference document for an Inter-Agency Transfer Expenditure. This process uses a two-document method that involves the first department creating an Internal Transaction Initiator (ITI) document that references the IPO, followed by the creation of an Internal Transaction Agreement (ITA) document that allows the second department to view and accept the amount billed/paid, the COA elements, and amount being transferred.

Note: *Event Type for ITI and ITA must be the same.*

7.1. State Workflow Approval Process Overview

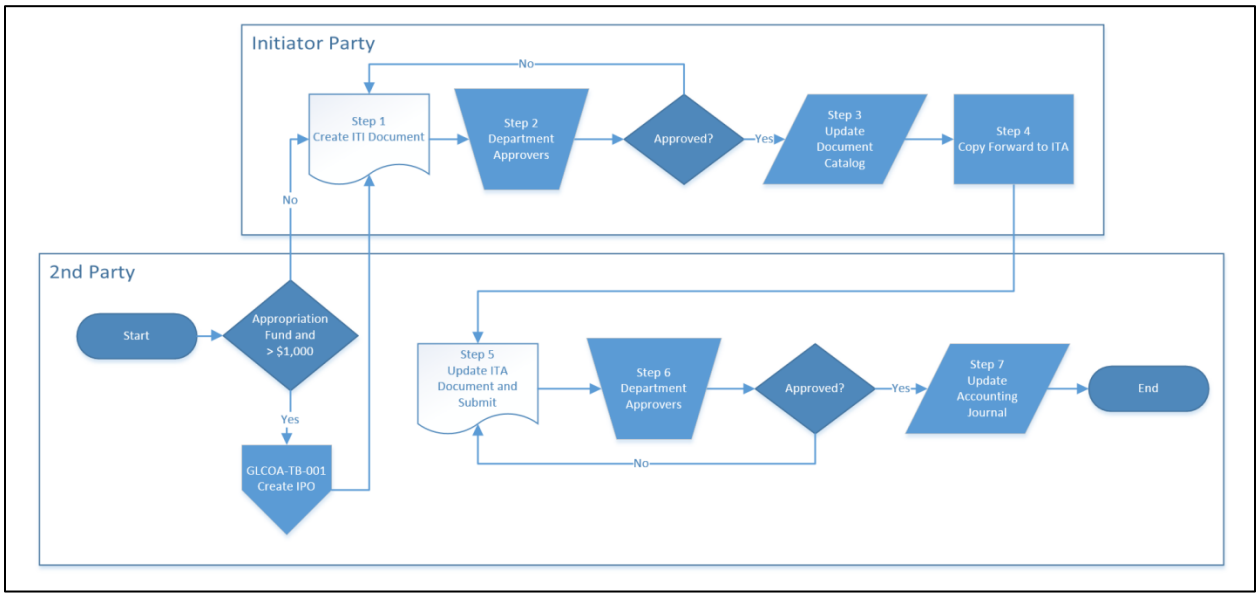
This is a State designed process. Your department may have different requirements. This process is referenced in GL-TB-003 and represented by Figure 5 below.

1. The initiating department of the exchange transaction determines whether an internal encumbrance is needed based on the Appropriation Type. If needed, an internal encumbrance transaction should be created as documented in GL-TB-001. Once this document has been created, the end user creates an Internal Transaction Initiator (ITI)

document that can reference the encumbrance transaction. The ITI establishes the relationship to the Sending side of the transaction and the funding stream.

2. The initiating department is responsible for review and approval of the ITI document. If the document is setup incorrectly, the approver may reject the document back to Step 1. If the review finds the document information complete, then proceed to Step 3.
3. The final approver in the process approves the transaction and the document is submitted to final status and updates the appropriate Accounting Journals and Budget Structures/Inquires. No debits and credits occur upon the submission of the document.
4. The initiating department opens the previously processed ITI transaction and copies forward the transaction to an Internal Transaction Agreement (ITA) document. Information from the ITI (sending department) is brought into the ITA document to shorten data entry requirements.
5. The sending department updates the ITA document with receiving Chart of Accounts information for processing; this could be expenditure or revenue related funding stream information.
6. The sending department is responsible for review and approval of the transaction. If the transaction is setup incorrectly, the approver may reject the transaction back to Step 5. If the review finds the document information complete, then proceed to Step 7.
7. The final approver in the process approves the transaction and the document is submitted to final status and updates the appropriate Accounting Journals and Budget Structures/Inquiries. The reference encumbrance transaction is liquidated.
8. If the document needs to be rejected entirely and the entire process cancelled, then the user should also notify the initiator department to create a cancellation version of the ITI transaction.

Figure 5: Workflow Process Diagram for ITI/ITA Documents (GL-TB-003)



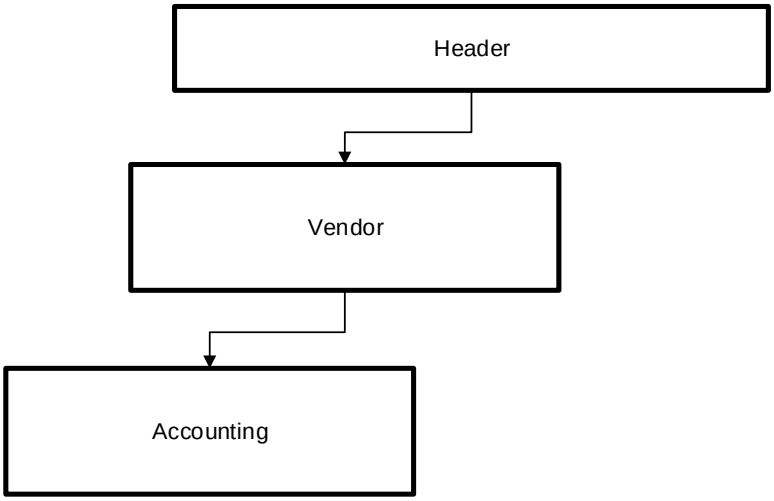
7.2. Internal Transaction Initiator and Agreement Document Components

The two documents used to complete this internal transaction method are the Internal Transaction Initiator (ITI) and the Internal Transaction Agreement (ITA).

Internal Transaction Initiator

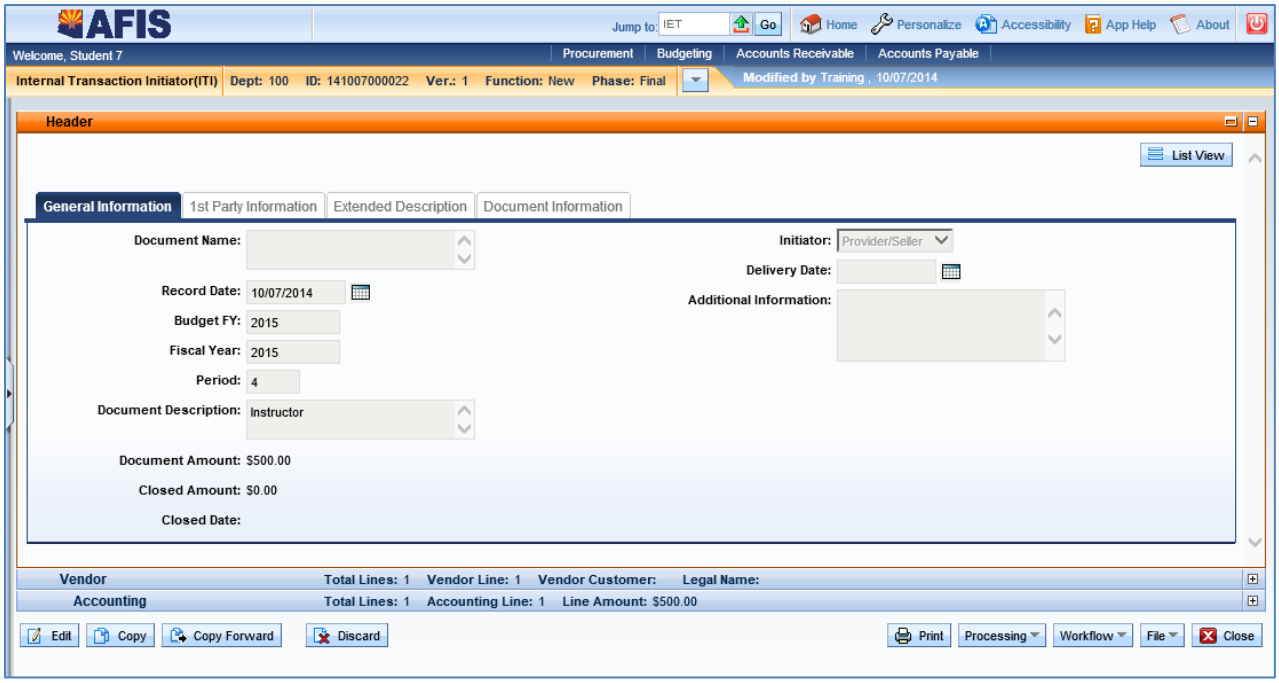
The first document in the Internal Transaction two-document method is the Internal Transaction Initiator (ITI) document. The Figure 6 below illustrates the structure of the three components in the ITI document.

Figure 6: ITI Document Component Structure



Internal Transaction Initiator Header

The Header component of the ITI document contains information that applies to the entire document. The General Information tab is the only tab that requires user input. The General Information tab has fields for reporting description and date information, as well as selecting the Initiator of the two document transaction method. The date fields, Record date, Budget FY, Fiscal Year, and Period, can either be entered by the user or allowed to default if left blank.

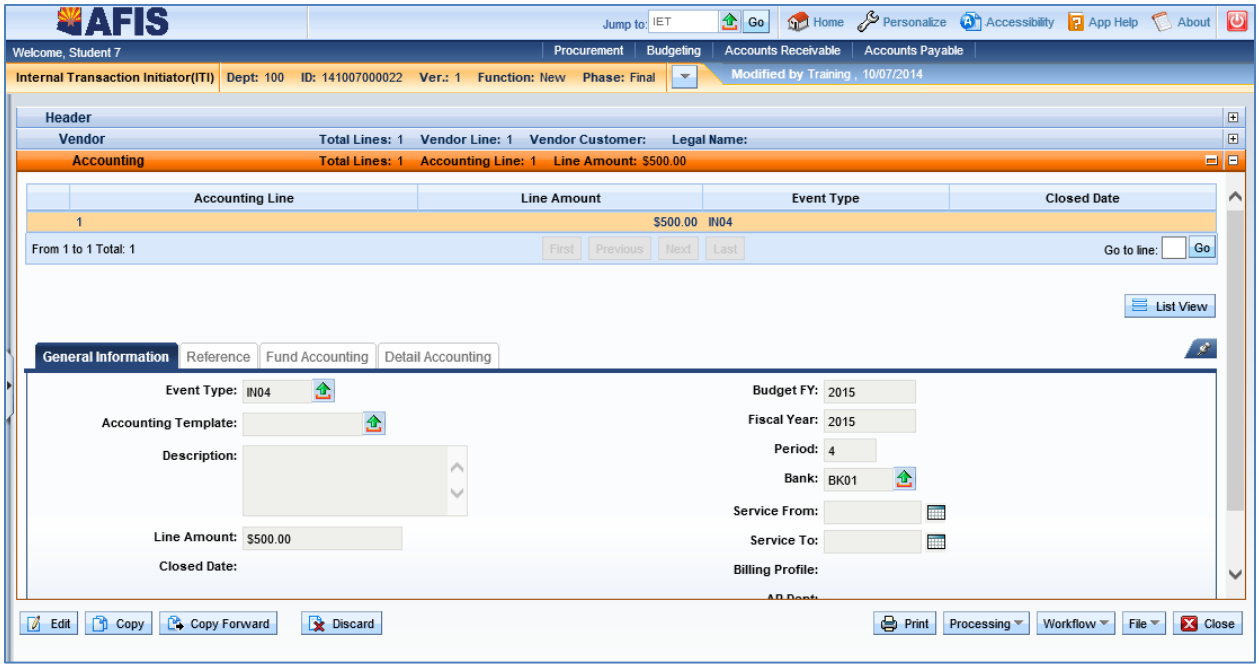


Internal Transaction Initiator Vendor

The Vendor component on the ITI document will not be used and requires no data entry by the user.

Internal Transaction Initiator Accounting

The Accounting component contains tabs for collecting the COA information for the document initiator. In this component, the General Information, Reference, Fund Accounting, and Detail Accounting tabs are available. An Accounting Template or Function can be used on the Accounting component to infer the COA elements on the Fund Accounting and Detail Accounting tabs. An Event Type must also be selected on the Accounting line.



Internal Transaction Initiator - Event Types

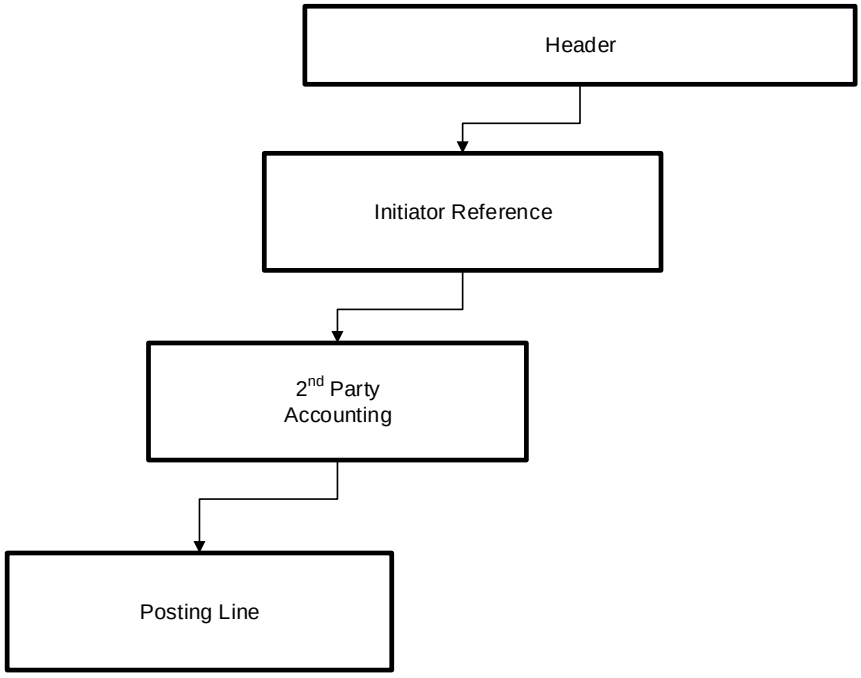
The available Event Types for the ITI document are:

- INZ1 - Expenditure Transfer
- INZ2 - Revenue Transfer
- INZ3 - Expenditure to Revenue Transfer

Internal Transaction Agreement

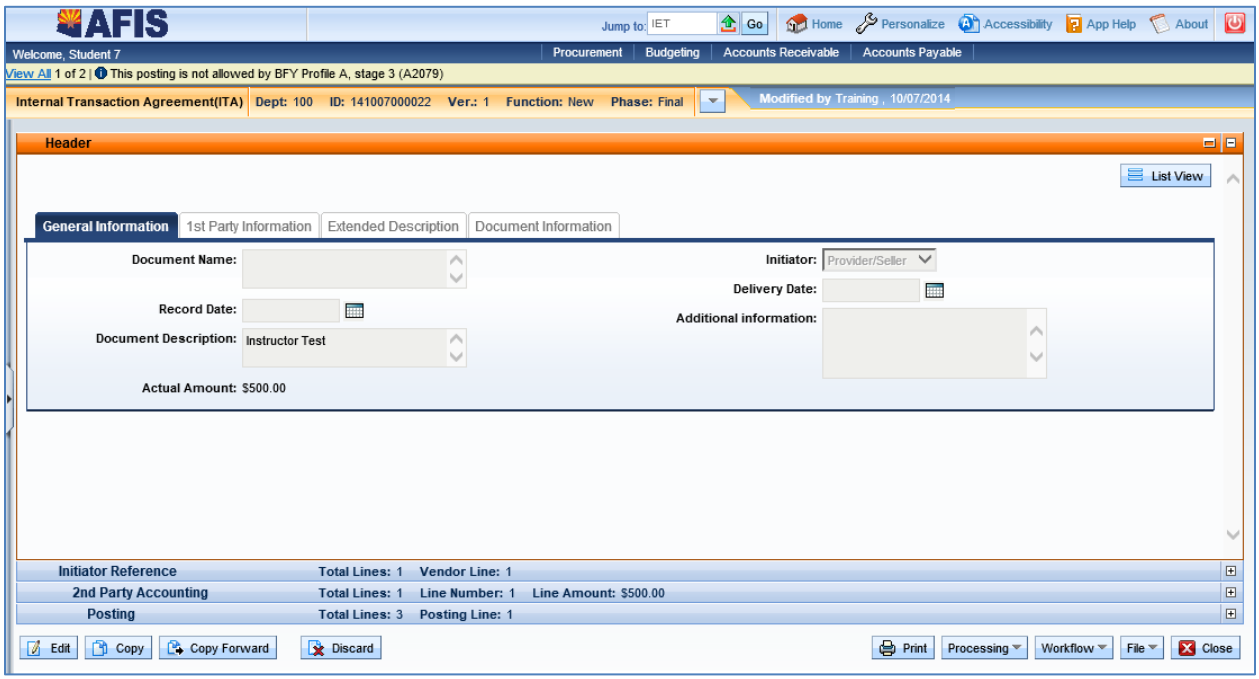
The second document in the Internal Transaction two-document method is the Internal Transaction Agreement (ITA) document. This document is created by using Copy Forward from an Internal Transaction Initiator document. The Figure 7 below illustrates the structure of the four components in the ITA document.

Figure 7: ITA Document Component Structure



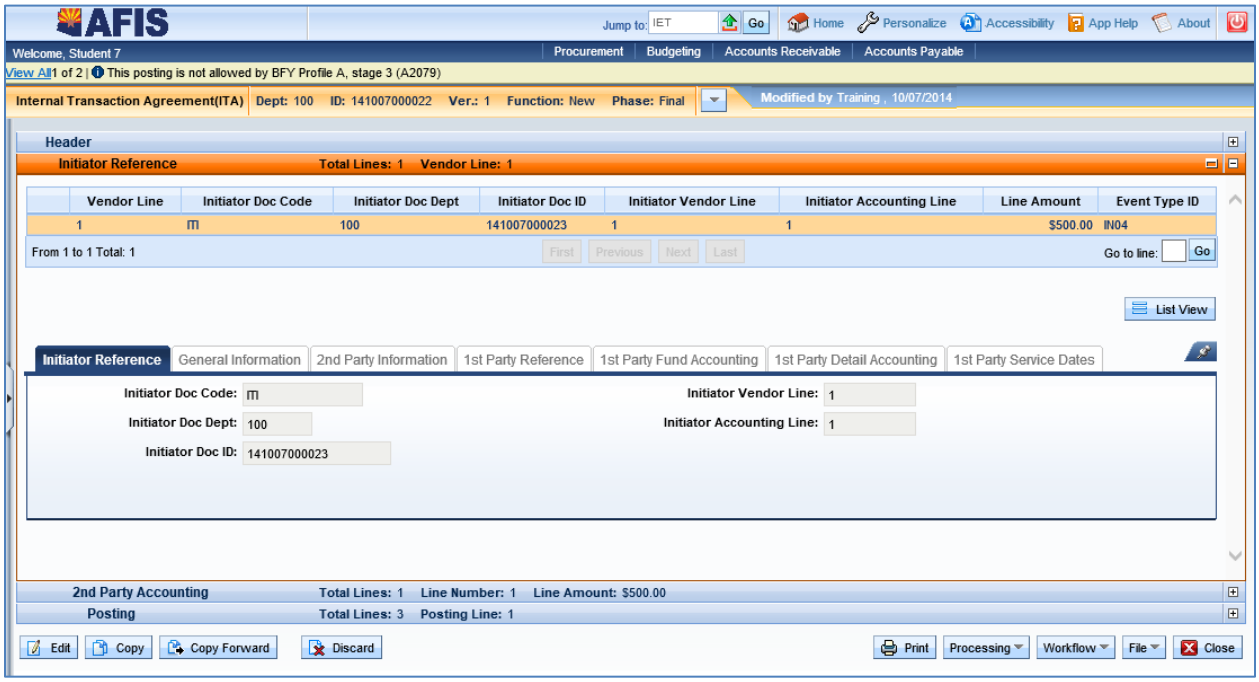
Internal Transaction Agreement Header

The Header component of the ITA document contains information that applies to the entire document. The information on this component needs to be reviewed for accuracy but should not be modified. If errors are present, the document must be discarded and the ITI corrected in order to create a new ITA document.



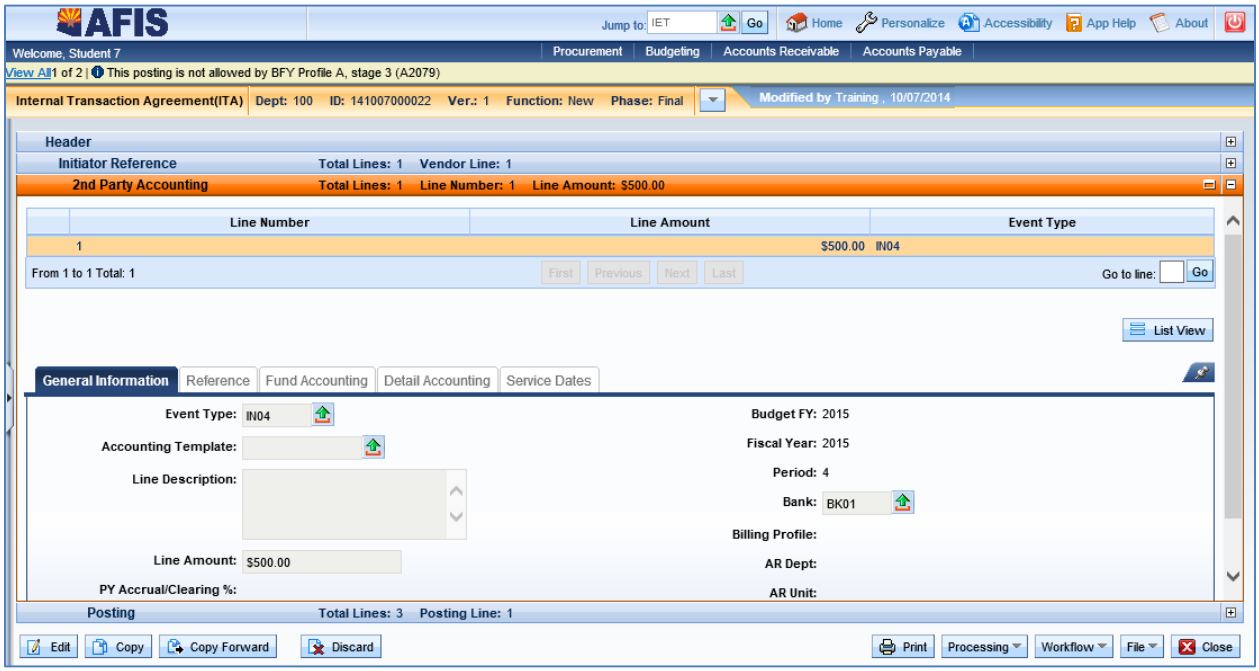
Internal Transaction Agreement Initiator Reference

The Initiator Reference component contains the information copied forward from the ITI document and should not be changed. If errors are present, the document must be discarded and the ITI corrected in order to create a new ITA document.



Internal Transaction Agreement 2nd Party Accounting

The 2nd Party Accounting component contains tabs for collecting the information for the 2nd Party in the transaction. In this component, the General Information, Reference, Fund Accounting, and Detail Accounting tabs are available. An Event Type must be selected on the General Information tab.



Internal Transaction Agreement - Event Types

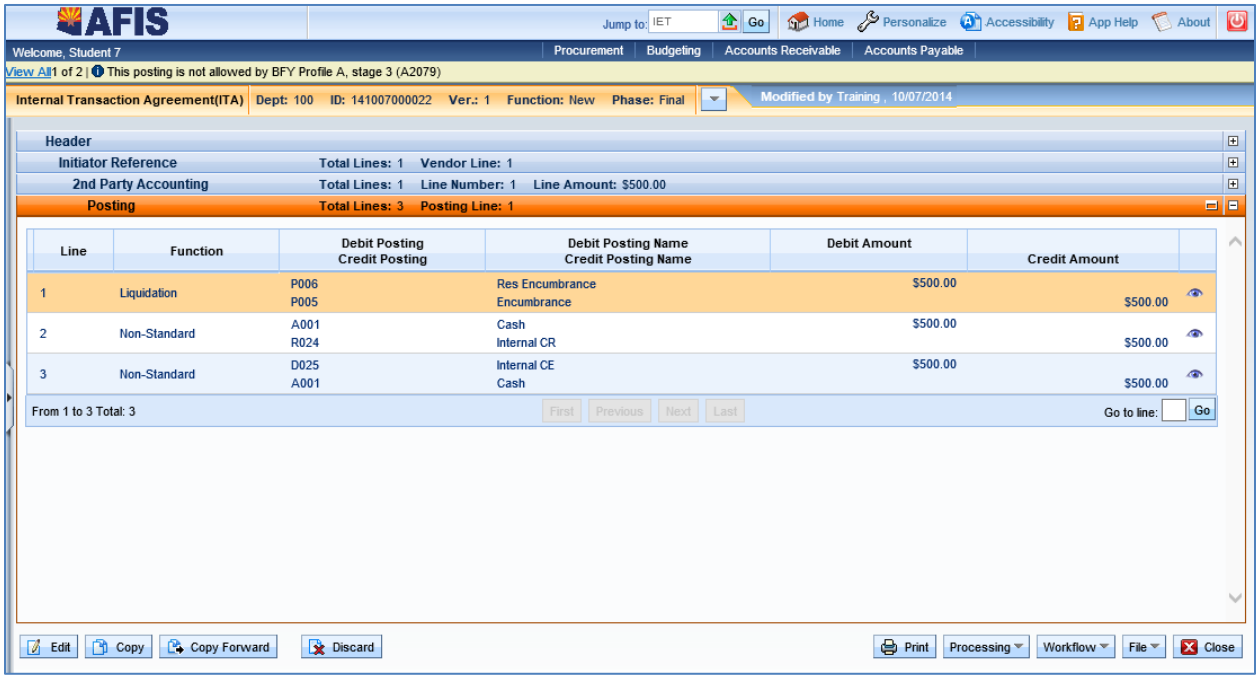
The available Event Types for the ITA document are:

- INZ1 - Expenditure Transfer
- INZ2 - Revenue Transfer (Residual Equity)
- INZ3 - Expenditure to Revenue Transfer

An Accounting Template or Function can be used on the Accounting component to infer the COA elements on the Fund Accounting and Detail Accounting tabs.

Internal Transaction Agreement Posting

The Posting line does not require data entry by the user. It displays information that is gathered from the other components of the document. Posting lines contain a summary of the Function, and Debit/Credit posting codes and amounts contained in the Internal Transaction Agreement. The Eye icon on the right displays the details for each posting line, reflecting the General Information, Fund Accounting, and Detail Accounting for the Internal Transaction Agreement.



7.3. Internal Transaction Initiator and Agreement Data Entry

The data entry process for the Internal Transaction Initiator and Agreement documents requires only that each department enter their own information. This method is used when one party is not able to enter the information for both parties in the transaction.

Internal Transaction Initiator

The Internal Transaction Initiator (ITI) document has three components and requires data entry on two of them, the Header and the Accounting components.

Header

In the Header component General Information tab users will need to enter the date and initiator information.

- **Record Date** – Enter a date or allow the system to default during document submission
- **Budget FY** – Enter a year or allow the system to default based on the Record Date

- **Fiscal Year** – Enter a year or allow the system to default based on the Record Date
- **Period** – Enter a valid value or allow the system to default based on the Record Date
- **Initiator** – Select either Provider/Seller or Receiver/Buyer. This field tells the nature of the 1st party and determines which party's information is required on the ITI document.

Vendor

The Vendor component on the ITI document will not be used and requires no data entry by the user.

Accounting

The Accounting component contains information that pertains to the initiator party in the transaction. Users must first insert a line and then complete the required fields on the General Information and Fund Accounting tabs.

Accounting – General Information

The required fields on the General Information tab are:

- **Event Type** – Enter an appropriate Event Type or select one from the pick list
- **Line Amount** – Enter an amount for the current line

The other fields on the General Information tab are optional, and include description and date information. This tab is also where the user can select an Accounting Template which will infer COA elements on the Fund Accounting and/or Detail Accounting tabs.

Accounting – Fund Accounting

The required fields on the Fund Accounting tab are:

- **Fund** – Enter the Fund code
- **Department** – Enter the Department code
- **Unit** – Enter the Department Unit
- **Appr Unit** – Enter the Appropriation Unit code
- **Object** – This field is conditionally required based on the Initiator or Event Type entered
- **Revenue** – This field is conditionally required based on the Initiator or Event Type entered

The other fields on the Fund Accounting tab are optional but may be used to further identify the COA elements on the transaction.

Accounting – Detail Accounting

All of the fields on the Detail Accounting tab are optional; however the Function field can be used to infer the necessary COA elements.

Internal Transaction Agreement

The Internal Transaction Agreement (ITA) document has four components but only requires data entry on one of them, the 2nd Party Accounting component. The other components need to be reviewed for

accuracy and if errors are found, then the ITA document must be discarded and recreated once the ITI document is corrected.

Header

The Header component of the ITA should be reviewed for accuracy, but users should not enter or change any data in this component.

- **Record Date** – Enter a date or allow the system to default during document submission
- **Budget FY** – Enter a year or allow the system to default based on the Record Date
- **Fiscal Year** – Enter a year or allow the system to default based on the Record Date
- **Period** – Enter a valid value or allow the system to default based on the Record Date

Initiator Reference

The Initiator Reference contains the information copied forward from the ITI document which should be reviewed for accuracy, but users should not enter or change any data in this component.

2nd Party Accounting

The 2nd Party Accounting component contains information that pertains to the 2nd party in the transaction. Users must first insert a line and then complete the required fields on the General Information and Fund Accounting tabs.

Accounting – General Information

The required fields on the General Information tab are:

- **Event Type** – Enter an appropriate Event Type or select one from the pick list
- **Line Amount** – Enter an amount for the current line

The other fields on the General Information tab are optional, and include description and date information. This tab is also where the user can select an Accounting Template which will infer COA elements on the Fund Accounting and/or Detail Accounting tabs.

Accounting – Fund Accounting

The required fields on the Fund Accounting tab are:

- **Fund** – Enter the Fund code
- **Department** – Enter the Department code
- **Appr Unit** – Enter the Appropriation Unit code
- **Unit** – Enter the Department Unit code
- **Object** – This field is conditionally required based on the Initiator or Event Type entered
- **Revenue** – This field is conditionally required based on the Initiator or Event Type entered

The other fields on the Fund Accounting tab are optional but may be used to further identify the COA elements on the transaction.

Accounting – Detail Accounting

All of the fields on the Detail Accounting tab are optional, however the Function field can be used to infer the necessary COA elements.

Posting

The Posting line does not require data entry by the user, it displays information that is gathered from the other components of the document.

7.4. Create an Internal Transaction Initiator Document

Internal Transaction Initiator (ITI) and Internal Transaction Agreement (ITA) documents are created by using application pages stored in the Document Catalog or by using the Copy Forward feature from a reference document such as an encumbrance. When using Copy Forward, information from the source document populates the new document. It is the responsibility of the initiating department to create, submit, and approve the ITI document and then Copy Forward to the ITA document. Once the ITA document has been created, the initiating department should contact the sending department to make them aware of the need to process and approve the ITA document.

ACTIVITY 7.4

Create an Internal Transaction Initiator Document and Copy Forward to an Internal Transaction Agreement Document

Scenario

You have received a request to create an Internal Transaction Initiator (ITI) document and, once it is approved, Copy Forward to an Internal Transaction Agreement (ITA) document and notify the Seller department of its creation. This two-document method will liquidate an encumbrance.

Setup

- ✓ User is logged into the AFIS Home Page.

Steps

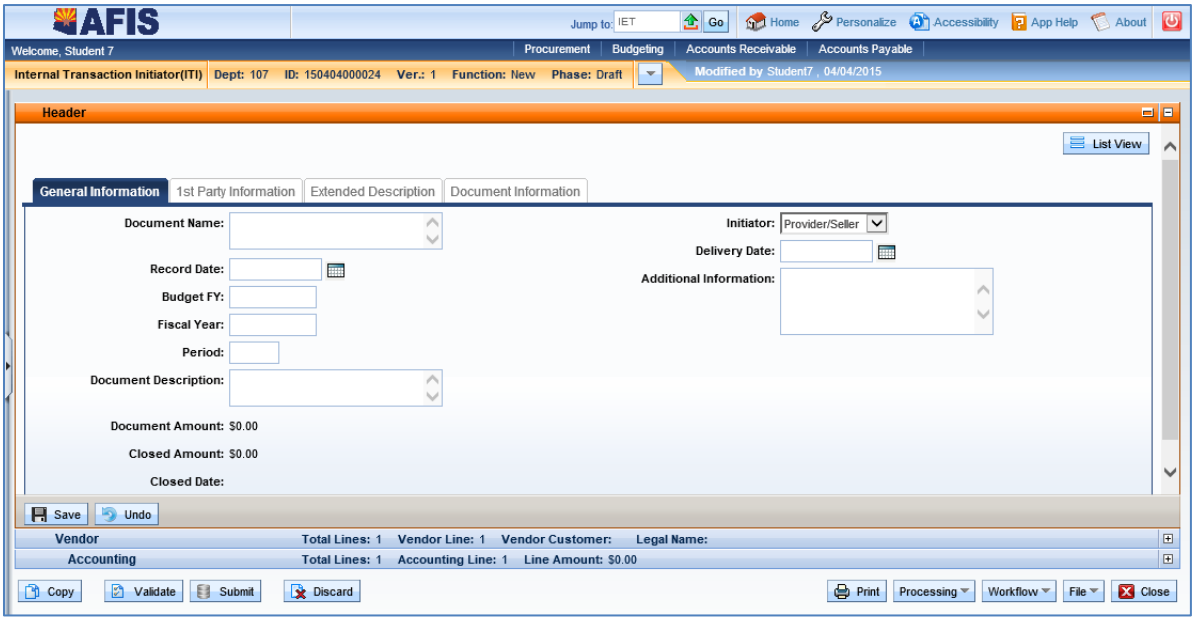
A. Locate the IPO document to reference.

1. In the Secondary Navigation Panel, click **Search**.
2. Click **Document Catalog**.
3. In the **Code** field, enter ***IPO***.
4. In the **Dept**. field, enter the data from ***your student data card***.
5. In the **ID** field, enter the data from ***your student data card***.

6. Click **Browse**.
7. In the scalar, click the **ID** link for the IPO document. The IPO document opens.
8. Review the IPO document, then click **Close**.
9. Click **Home** in the Primary Navigation Panel to return to the Home Page.

B. Create the ITI document.

1. In the Secondary Navigation Panel, click **Search**.
2. Click **Document Catalog**.
3. In the **Code** field, enter ***ITI***.
4. In the **Dept**. field, enter the data from ***your student data card***.
5. Select the **Auto Numbering** check box.
6. Click **Create**. The new ITI document opens on the Header component.



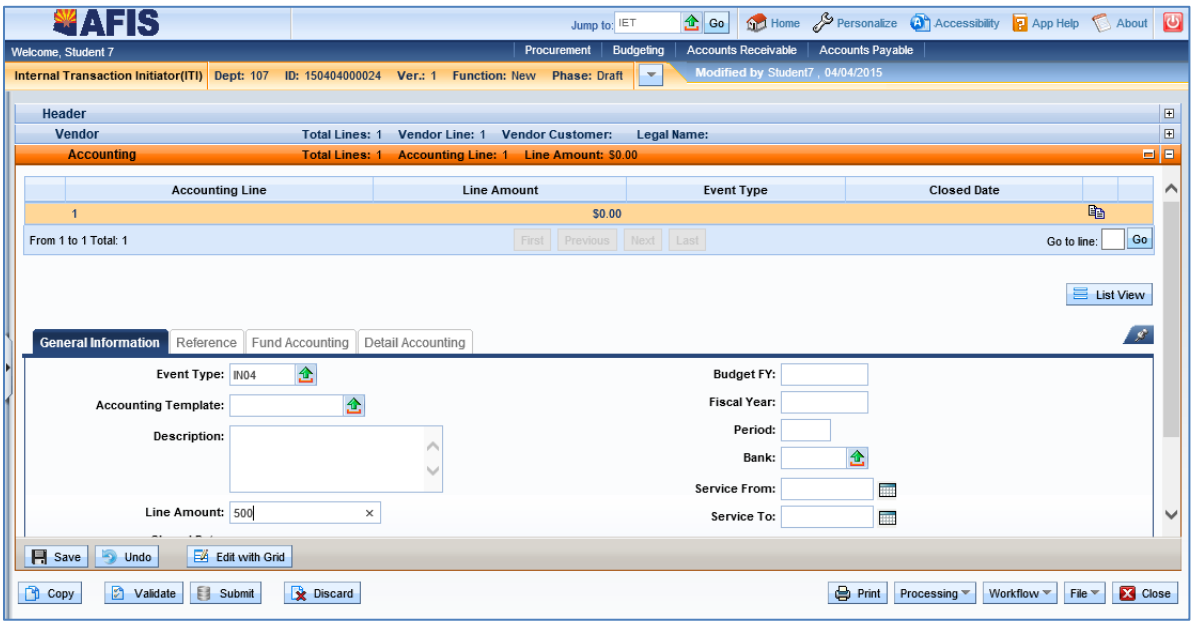
C. Complete the Header component of the ITI document.

1. On the General Information tab, in the **Initiator** field, select **Provider/Seller**.
2. In the **Record Date** field, select ***today's date***.

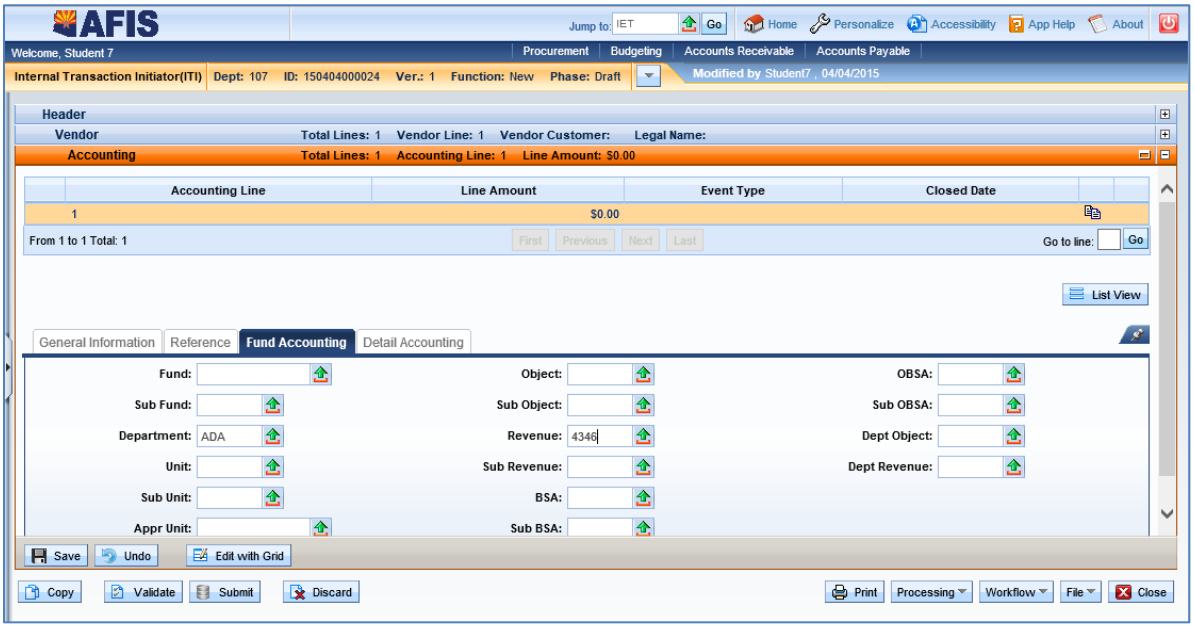
D. Complete the Accounting component of the document.

1. Click the **Accounting** component at the bottom of the screen.
2. In the General Information tab, in the **Event Type** field, enter ***INZ3.***

3. In the **Line Amount** field, enter ***500***.

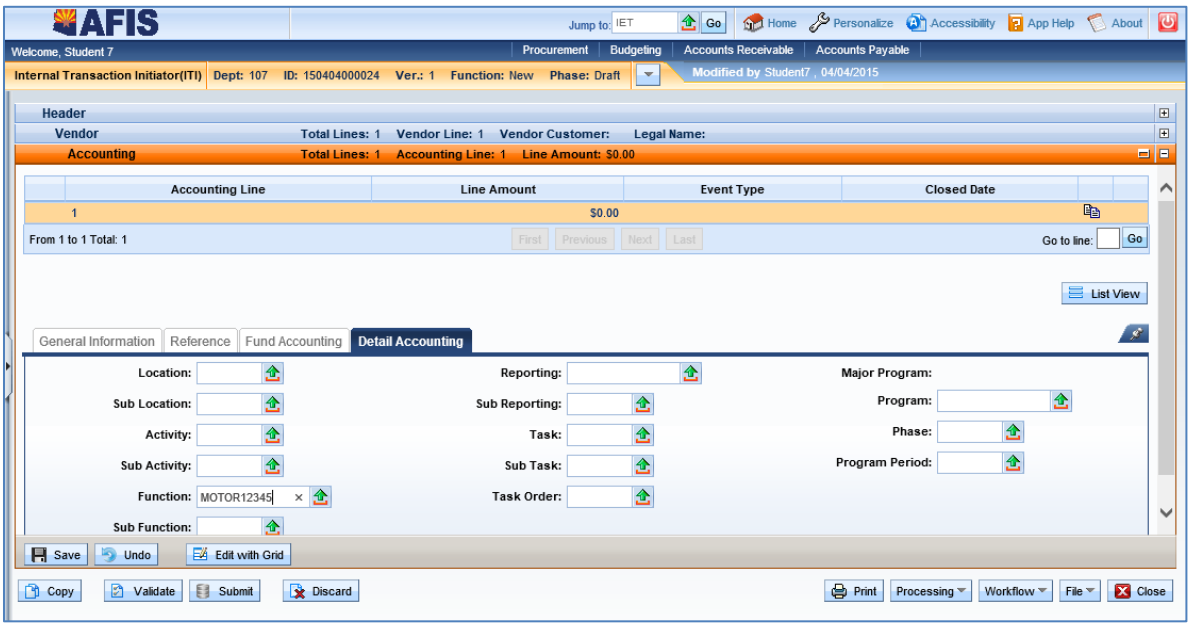


4. Click the **Fund Accounting** tab.
5. In the **Department** field, enter ***ADA.***
6. In the **Revenue** field, enter ***4346.***



7. Click the Detail Accounting tab.

8. In the **Function** field, enter ***Motor12345.***



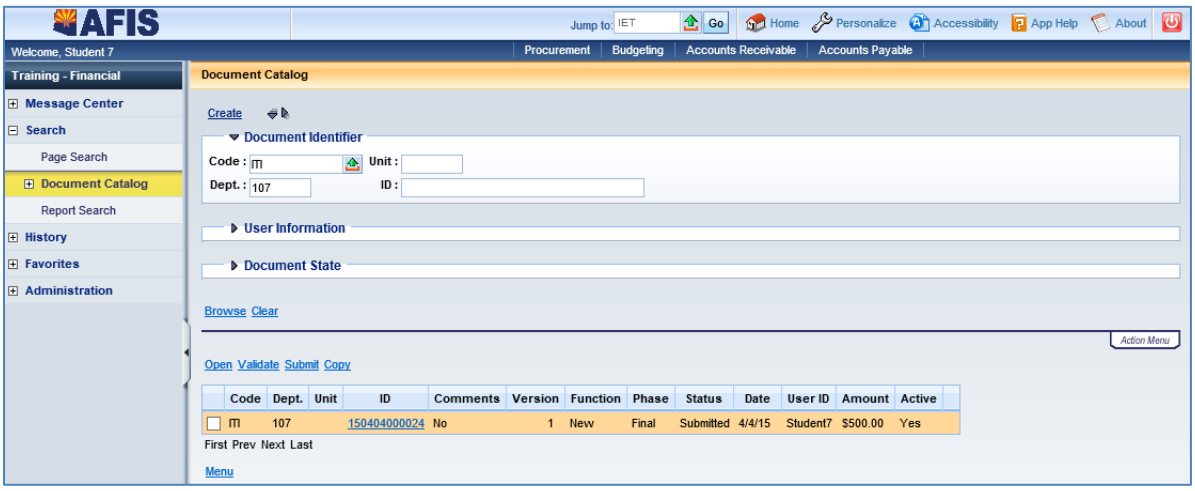
E. Check the ITI document for errors and submit it.

1. Click the **Validate** button to check for errors. If any errors exist, fix the errors and click the Validate button again. If the validation is successful, the following message is displayed in the upper left corner of the screen: "**Document validated successfully**."
2. Write down the Document ID #_____
3. Click the **Submit** button.
4. Click **Close** to return to the Document Catalog.
5. Click **Home** to return to the Home Page.

F. Use the Document Catalog to search for and open the Final ITI document.

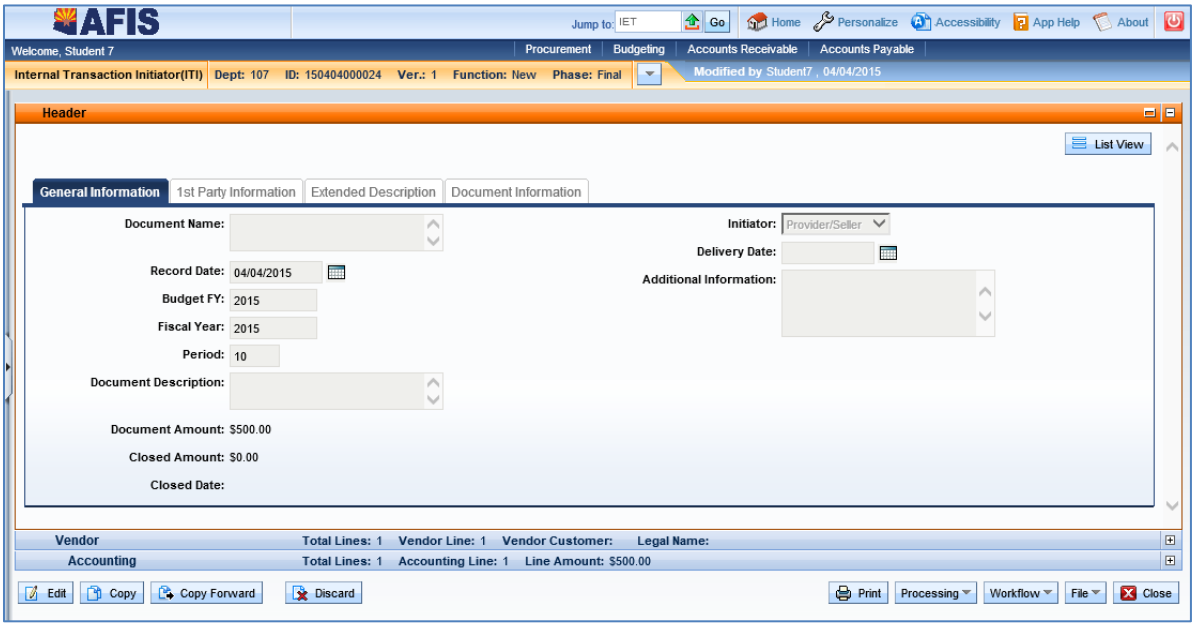
1. In the Secondary Navigation Panel, click **Search**.
2. Click **Document Catalog**.
3. In the **Code** field, enter ***ITI.***
4. In the **Dept** field, enter the data from ***your student data card***.
5. In the **ID** field, enter the document ID from E. Step 2.
6. Click **Browse**.

7. In the scalar, select the **Final phase ITI** document. The ITI document opens.



G. Create the ITA document using Copy Forward from the ITI.

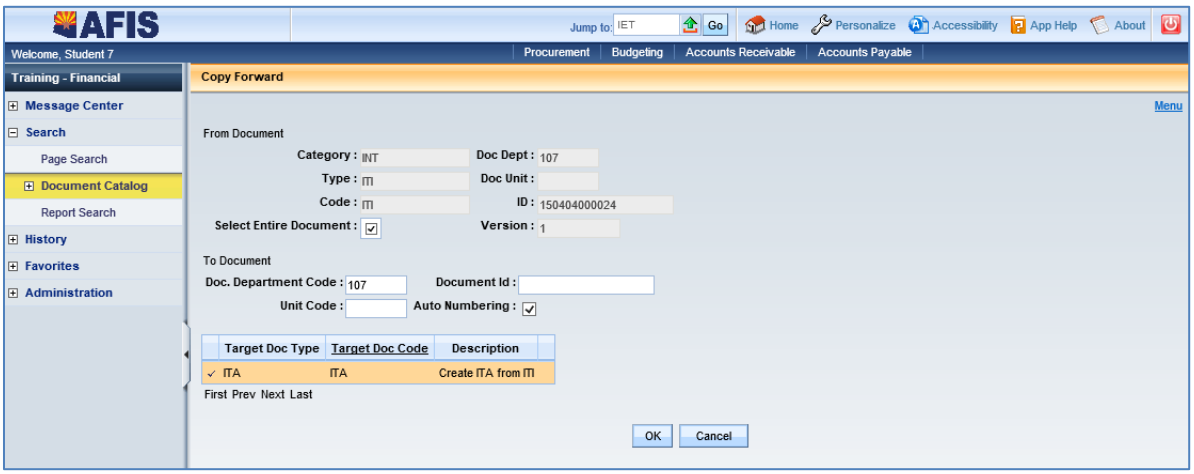
1. In the ITI document, click **Copy Forward**.



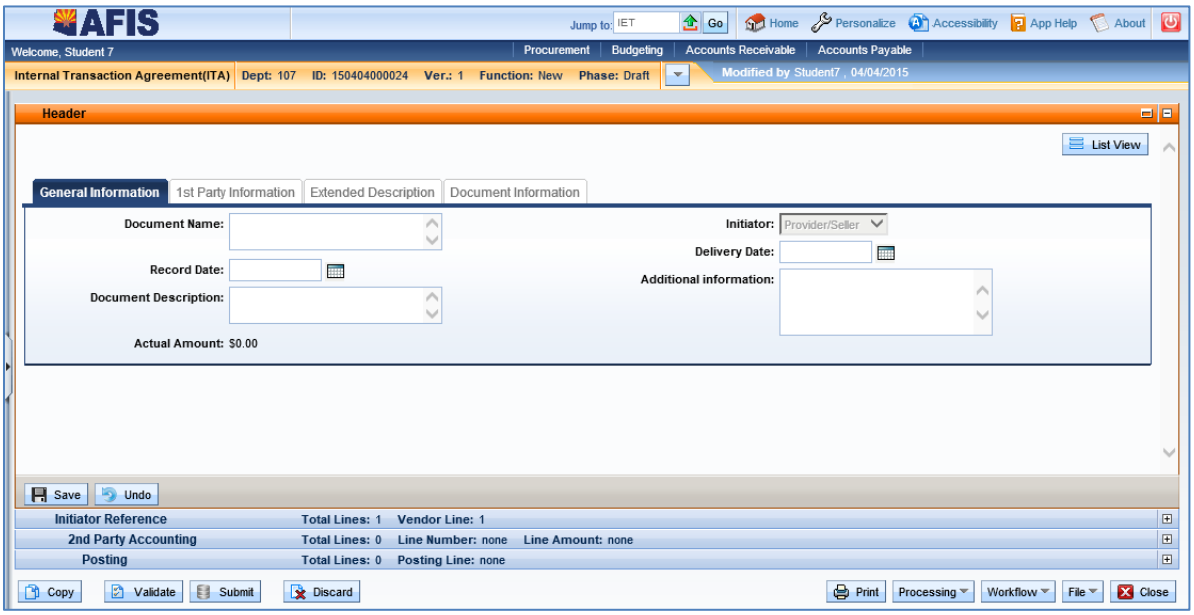
2. On the Copy Forward screen, in the **Doc Department Code** field, enter the data from ***your student data card.***

3. Select the **Auto Numbering** check box.

4. Select the **Target Doc Type** of **ITA**.



5. Click **OK**. The ITA document opens.
6. Write down this **Document ID. #**_____



7. Click **Close**. This leaves the ITA document in the Draft phase.
8. Click **Home** in the Primary Navigation Panel to return to the Home Page.

7.5. Create an Internal Transaction Agreement Document

The two-document method continues with the completion of the Internal Transaction Agreement (ITA) document.

ACTIVITY 7.5
Complete and Submit the Internal Transaction Agreement Document

Scenario

You have received a request to complete and submit an Internal Transaction Agreement (ITA) document to process an inter-agency transfer of funds.

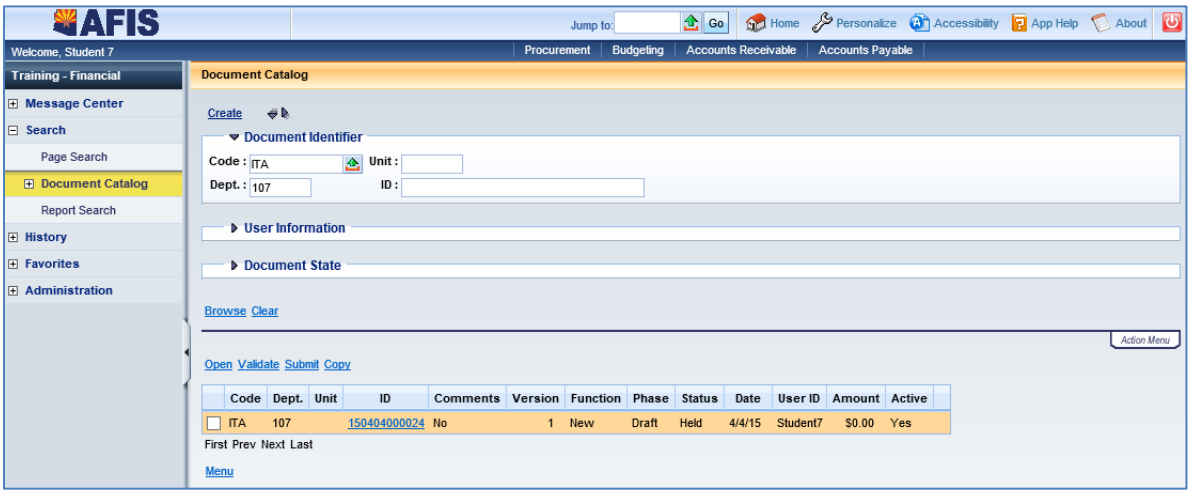
Setup

✓ User is logged into the AFIS Home Page.

Steps

A. Use the Document Catalog to search for and open the ITA document.

1. In the Secondary Navigation Panel, click **Search**.
2. Click **Document Catalog**.
3. In the **Dept** field, enter the data from ***your student data card.***
4. In the **ID** field, enter the Document ID written down from activity 7.4.

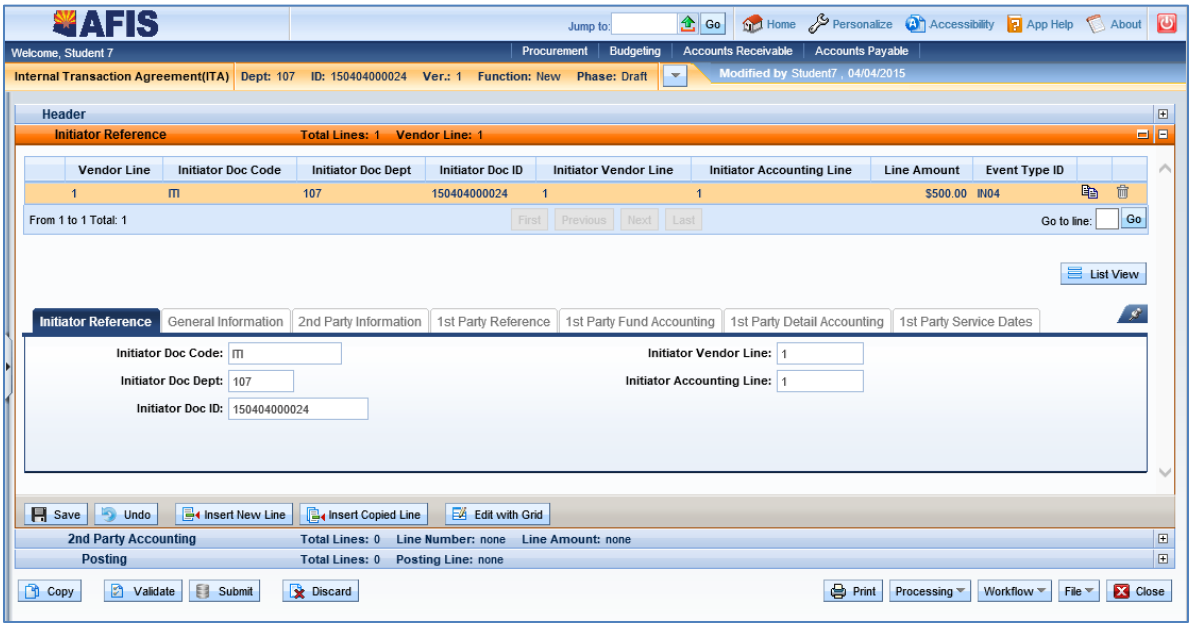


5. Click **Browse**.
6. In the scalar, click the **ID** link of the ITA document. The ITA document opens.

B. Review the information that was copied forward from the ITI document.

1. Observe the information on the Header component of the ITA document.

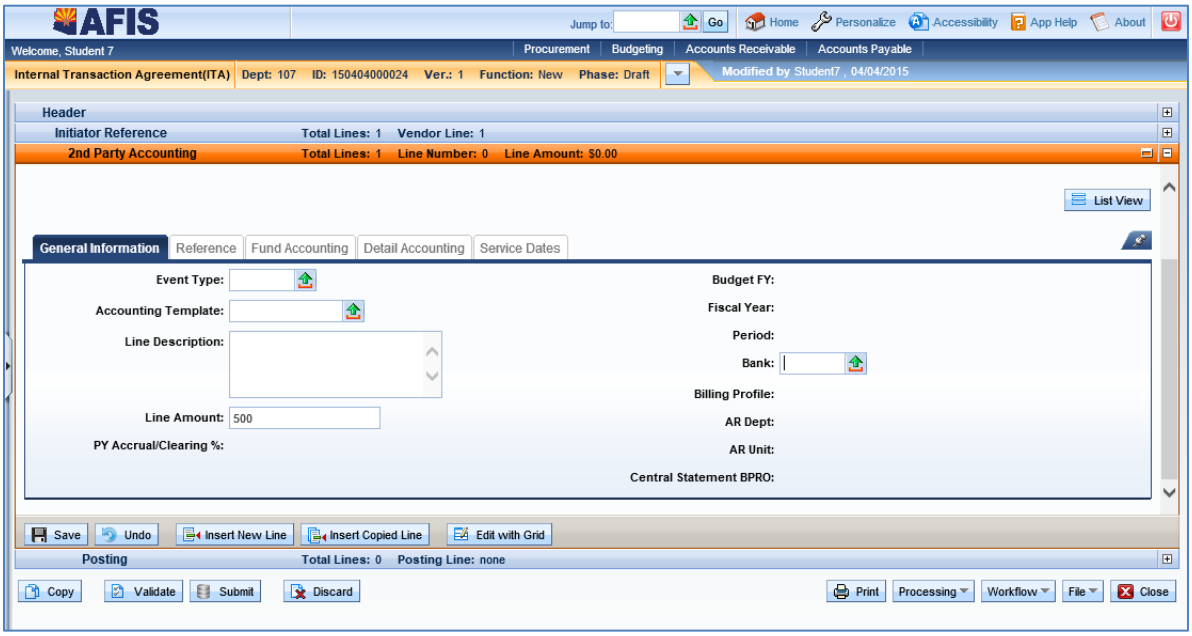
2. Click the **Initiator Reference** component.
3. Observe the information in the Initiator Reference component.



4. Click the **Edit** button at the bottom of the screen.

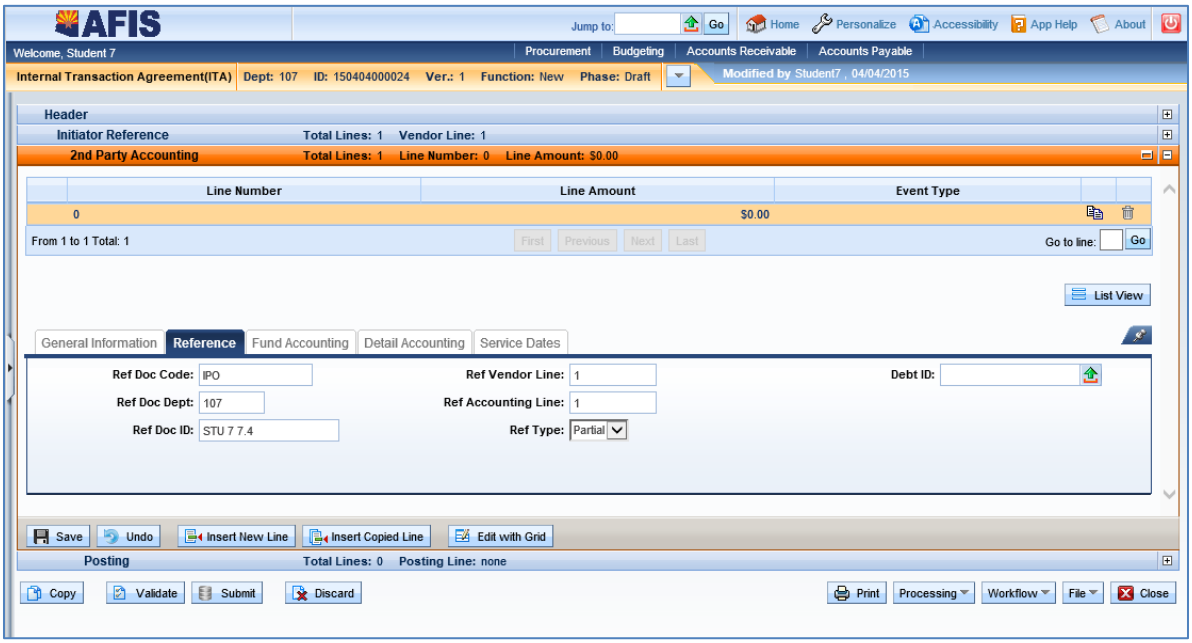
C. Complete the 2nd Party Accounting component.

1. Click the **2nd Party Accounting** component.
2. Click the **Insert New Line** button.
3. In the **Line Amount** field, enter ***500***.



4. Click on the **Reference** tab.

5. In the **Reference Doc Code** field, enter ***IPO.***
6. In the **Reference Doc Dept** field, enter the data from ***your student data card.***
7. In the **Reference Doc ID** field, enter the data from ***your student data card.***
8. In the **Reference Vendor line** field, enter ***1.***
9. In the **Reference Accounting line** field, enter ***1.***
10. In the **Reference type** field, select ***Partial.***



D. Check the ITA document for errors and submit it.

1. Click the **Validate** button to check for errors. If any errors exist, fix the errors and click the **Validate** button again. If the validation is successful, the following message is displayed in the upper left corner of the screen: "**Document validated successfully**."
2. Click the **Submit** button.
3. Click **Close** to return to the Document Catalog.
4. Click **Home** in the Primary Navigation Panel to return to the Home Page.

7.6. Research Updates Made by Inter-Agency Transfer Expenditures

The Accounting Journal (JACTG) query page is the main source of detailed transaction data. Users can navigate to the Accounting Journal by using the Jump to field in the Primary Navigation Panel, or the Page Search feature on the Secondary Navigation Panel. The Accounting Journal search feature enables users to narrow down the list of documents displayed. Once the document is located, the information can be reviewed for accuracy.

7.7. Inter-Agency Transfer Operating

A non-revenue transfer that moves funds between operating accounts uses a variation of the Internal Exchange documents, called the Internal Transaction Initiator Operating (ITIOP) document and the Internal Transaction Agreement Operating (ITAOP) document. The State workflow process is the same as the process for standard ITI and ITA documents (GL-TB-003). On the ITIOP and ITAOP documents the default Event Type will be different which will tell the system that these documents are processing an Operating transfer.

The available Event Types for the ITIOP and ITAOP documents are:

- INZ1 - Expenditure Transfer
- INZ2 - Revenue Transfer (Residual Equity)
- INZ3 - Expenditure to Revenue Transfer

7.8. Inter-Agency Transfer Balance Sheet

A non-revenue transfer that moves funds between Balance Sheet accounts uses a variation of the Internal Exchange documents, called the Internal Transaction Initiator Balance Sheet (ITIBS) and the Internal Transaction Agreement Balance Sheet (ITABS) document. These documents are based on the standard ITI and ITA documents but the workflow approval process ends with the General Accounting Office.

The available Event Types for the ITIBS and ITABS documents are:

- INZ4 - Asset Transfer
- INZ5 - Liability Transfer
- INZ6 - Asset to Liability Transfer
- INZ7 - Liability to Revenue Transfer
- INZ8 - Asset to Revenue Transfer
- INZ9 - Asset to Expenditure Transfer
- INZ0 - Liability to Expenditure Transfer

State Process Overview

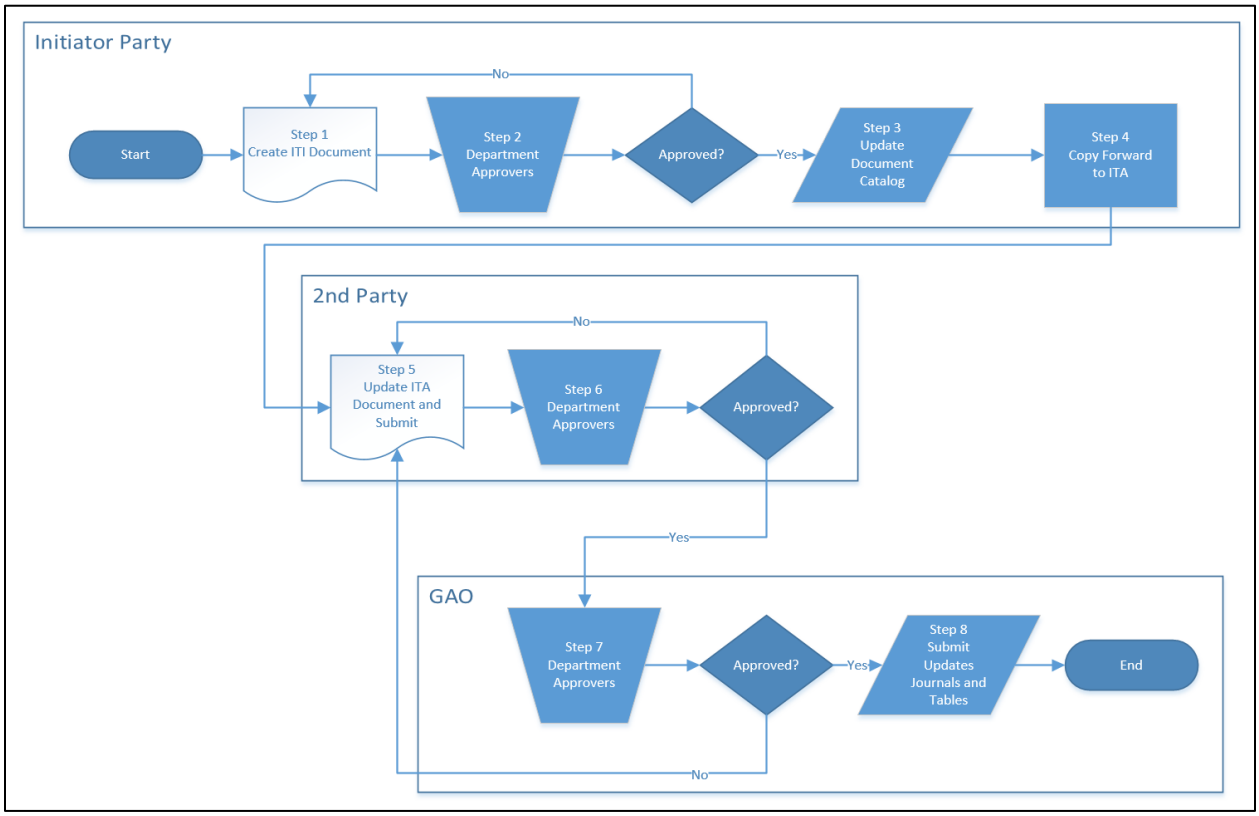
This is a State designed process. Your department may have different requirements. This process is similar to the process referenced in GL-TB-004 and represented by Figure 8 below.

1. The end user creates an ITIBS transaction. The ITIBS is the initiator transaction.
2. The initiating department is responsible for review and approval of the transaction. If the transaction is setup incorrectly, the approver may reject the transaction back to Step 1 of

the process. If the review and approval finds the document information complete, then proceed to Step 3.

3. The final approver in the process approves the transaction and the document is submitted to final status and updates the appropriate Accounting Journals and Budget Structures/Inquiries. No debits and credits occur upon the submission of the document.
4. The initiating department opens the previously processed ITIBS transaction and copies forward the transaction to an ITABS document. Information from the ITIBS (sending department) information is brought into the ITABS document to shorten data entry requirements.
5. The sending department updates the ITABS document with receiving Chart of Accounts related information. This will be balance sheet related Chart of Accounting information.
6. The sending department is responsible for review and approval of the transaction. If the transaction is setup incorrectly, the approver may reject the transaction back to Step 5 of the process. If the document needs to be rejected entirely and the entire process cancelled, then the user should also notify the Initiator department to create a cancellation version of the ITIBS transaction. If the review and approval finds the document information complete, then proceed to Step 7.
7. The General Accounting Office will be the final approver of an Internal Balance Sheet Account transfer transaction. If the document needs to be rejected entirely and the entire process cancelled, then the user should also notify the Initiator department to create a cancellation version of the ITI transaction.
8. The final approver in the process (GAO) approves the transaction and the document is submitted to final status and updates the appropriate Accounting Journals and Cash Balance inquiries.

Figure 8: Workflow Process Diagram for ITIBS/ITABS Documents (GL-TB-004)



7.9. Cancel an Inter-Agency Transfer Expenditure

If errors are made or discovered in the document creation or review process, the document can be cancelled or returned for correction depending on where in the approval process the document is.

Example

When using the two-document method to complete a transfer:

1. The second party discovers errors in the received pending ITA document
2. The ITA document is rejected
3. The ITI document must be cancelled
4. The initiating party creates a new ITI document
5. The new ITI document is copied forward to a new ITA document
6. The new ITA document is submitted for approval

Lesson Summary

In this lesson, you:

- Identified the State workflow process for Inter-Agency Transfer Expenditure documents
- Examined the Inter-Agency Transfer Expenditure documents
- Created an Internal Transaction Initiator document
- Created an Internal Transaction Agreement document
- Researched the updates made by the Inter-Agency Transfer Expenditure documents
- Reviewed the Inter-Agency Transfer Operating documents
- Reviewed the Inter-Agency Transfer Balance Sheet documents
- Cancelled an Inter-Agency Transfer Expenditure document

Check Your Progress

1. The ITI and ITA documents are completed by the same user.
   a. True
   b. False

2. Internal transactions can be processed _____.
   a. Between departments
   b. Within departments
   c. Between States
   d. Both a and b
   e. None of the above

8. Batch Processing Overview

Learning Objectives

In this lesson, you will:

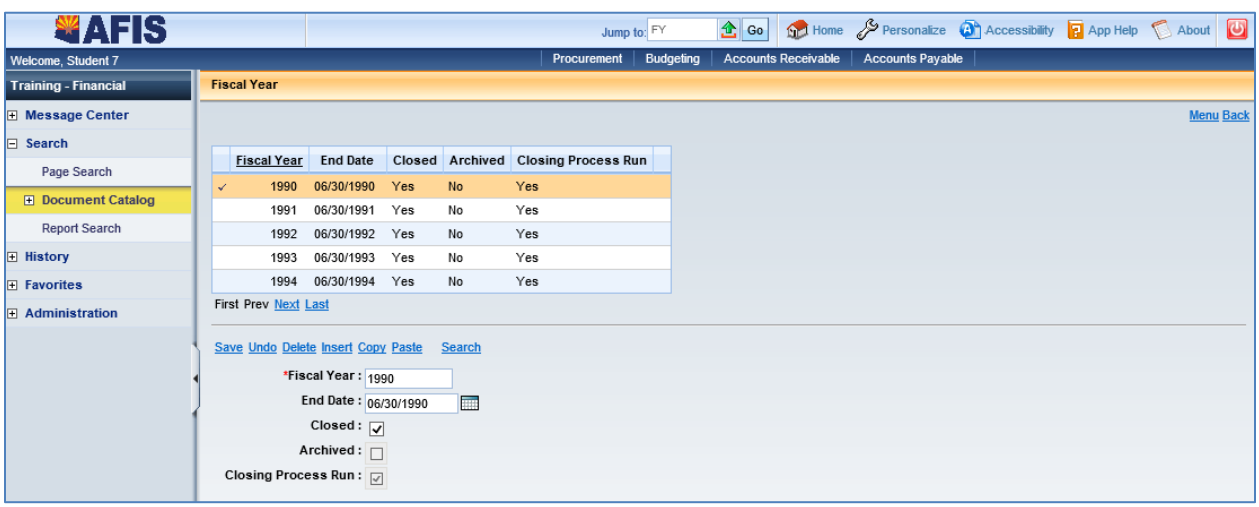
- Review the Fiscal Year table
- Review the Accounting Period table
- Examine the open activity processes
- Examine the available batch and chain jobs

Lesson Overview

The General Accounting Office is responsible for managing system-wide settings that determine what happens to accounting transactions at the end of a Fiscal Year or Accounting Period. This lesson reviews the Open Activity management processes in AFIS as well as some of the available batch jobs and chain jobs that handle offline processing.

8.1. Fiscal Year

The Fiscal Year (FY) table is used to establish and verify the valid fiscal years and budget fiscal years in AFIS. All transactions and processes must be executed within a valid year. Verification of the fiscal year used on a transaction not only ensures a valid fiscal year is entered on transactions but also that the year is open for transactions.



Soft Close

Each fiscal year record on the FY table is defined by the year and the end date. When the fiscal year is closed to further activity, the Closed check box needs to be checked, either manually or by the offline

closing process. This type of close is called a “soft” close. Once a fiscal year has been marked as closed, only document codes that are both marked Soft Close Override Allowed on the Document Control (DCTRL) table and processed by users with appropriate override authority are accepted by the system.

Hard Close

For a fiscal year record on the FY table, the Close Process Run check box is checked only by the offline closing process. This type of close is called a “hard” close. Once a fiscal year has been marked as Close Process Run, only document codes that are both marked Hard Close Override Allowed on the Document Control (DCTRL) table and processed by users with appropriate override authority are accepted by the system.

8.2. Accounting Period

The Accounting Period (APD) table is used to establish, maintain, and validate accounting periods used in AFIS. Valid accounting periods can be defined for each fiscal year. The APD table can also be used to provide period-end, period closing, and adjustment information that effects transaction processing. The APD table must be updated before beginning a new fiscal year.

For each defined accounting period on the APD table, the following fields are available:

- **Fiscal Year** – Enter or use the pick list to select a valid value from the Fiscal Year (FY) table
- **Period** – Enter the identification number associated with the period within a fiscal year
- **Quarter** – Enter the fiscal quarter within which this accounting period is defined, there are four quarters in a fiscal year
- **Name** – A field for a user defined name associated with the accounting period; should be descriptive since it is used in reporting
- **End Date** – Enter the last calendar date of the accounting period
- **Adjustment Period** – A check box that, when checked, indicates that the accounting period is to be used for end-of-the-year adjustments
- **Closed** – A check box that, when checked, indicates that the accounting period is closed to further activity; also known as a soft close
- **Closing Process Run** – A Yes/No field that is only set to Yes by the offline closing process. When set to Yes, it indicates that the Closing Process has been successfully run against the accounting period; this is also knows as a hard close

8.3. Open Activity Processes

Certain types of open accounting activity need to be addressed at fiscal year-end. One reason for this is that such activity would be selected by the Annual Close process and closed out as a nominal account. In the case of a real account, the activity would be rolled forward into the new year. Open encumbrances using budgets that are expiring will be lapsed at the end of the fiscal year. For example, annual (Type 1)

appropriations will lapse at the end of each year, while other multi-year appropriations will not lapse until the end of the final year of the budget.

Encumbrances that do not lapse will not be rolled forward to the new budget fiscal year (BFY). Instead, they will be tracked using the original budget fiscal year (BFY) and continue to match the BFY of the associated budget.

Accounting Based Document Lapse

When accounting documents, such as General Accounting Pre-Encumbrance (GAP) and General Accounting Expenditure (GAX) documents, are lapsed, an Accounting Based Document Lapse (ABDL) document is created with a zero-dollar final reference to close out the remaining open balance. This way the original line amount is retained on the document when activity is lapsed.

The ABDL Document Code contains the same sections and fields as the General Accounting Pre Encumbrance (GAP) Document Code and contains most of the same fields and sections as the General Accounting Expenditure (GAX) Document Code. However, the ABDL document should only be created by the Open Activity Lapse chain job is run in Update mode.

Roll/Lapse Detail Pre-Selection

The Roll/Lapse Detail Pre-Selection (RLPSD) page identifies each selected open accounting line found when the Open Activity Roll, Open Activity and Budget Roll, or Open Activity Lapse chain jobs are run in Pre-Selection mode.

There are two fields that allow user interaction. The Approved check box indicates if a pre-selected record is approved for roll, lapse, or accrual. The Action drop-down menu has four choices: Roll, Lapse, Accrue, and No Action. For the Roll, Lapse, and Accrue actions, an offline batch program is run to process the activity. If No Action is selected the record will not be picked up by any of the offline batch programs.

Roll/Lapse Summary Pre-Selection

The Roll/Lapse Summary Pre-Selection (RLPSS) page is a summary query of the RLPSD page that simplifies the process of approving or unapproving all of the accounting lines on the RLPSD for a given document at one time for one of the four actions: Roll, Lapse, Accrue, and No Action.

The RLPSS page data consists of a link to open and review the document as well as summary amounts that give a total closed and total open for all selected accounting lines of a document. When all accounting lines for a document on the RLPSD page have the Selected Date field populated, the RLPSD Closed Amount Sum and RLPSD Open Amount Sum columns on the RLPSS display $0.00 which means that there is nothing left to Roll, Lapse, or Accrue. The Lines Processed column will also read “All” in this situation.

Open Activity Options by Department

The Open Activity Options by Department (OAOD) page and batch job by the same name can be combined to perform a change to the Action and Approved fields on the Roll/Lapse Pre-Selection pages for multiple combinations of department and document codes.

8.4. Batch Processing

Batch jobs and chain jobs are offline automated processes that perform a high volume of tasks efficiently and accurately. There are several batch jobs available in the General Accounting area. Each of the batch jobs has a defined purpose and should be run as required by the General Accounting Office.

Table 8 below lists the batch jobs that are available along with a description of the job's function.

Table 8: General Accounting Batch Jobs with Descriptions

Job Name	Description
Bank Account Balance (ABAL)	Updates the Bank Account Balance (ABAL) page with a day's worth of increases and decreases to cash, outstanding disbursements, and outstanding deposits
Begin Day Balance Batch	Increments the Application Date forward to signify the completion of a nightly cycle
Cash and Fund Balance Sync Process	Synchronizes the data involved with Cash and Fund Balance tracking with data recorded from document processing when a discrepancy is reported by the System Assurance 2 report or other diagnostic report
Open Activity Roll Update	Only run automatically by the Open Activity Roll and Open Activity and Budget Roll chain jobs to load document modifications
Open Activity Options by Department	Uses the data setup on the Open Activity Options by Department page to make changes to Roll/Lapse Pre Selection Detail records
Populate FY Beginning Balance	Runs after an Annual Close and a running of the Ledger Engine batch job to ledgerize the journal records from Annual Close

Batch jobs are processed and reviewed by navigating to the Job Manager using Page Search.

Steps

1. In the Secondary Navigation Panel, click **Search**.
2. Click **Page Search**.
3. In the **Page Code** field, enter ***BATRUN***.
4. Click **Browse**.
5. Click the **Job Manager** link. The Job Manager opens in a new window.
6. In the Job Manager Secondary Navigation Panel, click **Financial**.
7. Click **General Accounting**.
8. Click **Batch Jobs**.
9. Click the desired batch job. The Job Summary or Report Summary window will display.

Chain Jobs

Chain jobs are also managed using the Job Manager. Table 9 below lists the chain jobs that handle General Accounting annual closing processes along with a description of the job's function.

Table 9: General Accounting Chain Jobs with Descriptions

Job Name	Description
Annual Close	Facilitates movement of nominal and real account balances from an accounting fiscal year that is being closed to the subsequent accounting fiscal year
Open Activity Lapse	One of three chain jobs used in the maintenance of open activity at the close of a year. This job closes out the activity in the old year with a referencing document that only liquidates the activity
Open Activity Roll	One of three chain jobs used in the maintenance of open activity at the close of a year. This job can either take the open activity in the old BFY and FY forward into the next year or accrue the activity with a document modification
Open Activity and Budget Roll	One of three chain jobs used in the maintenance of open activity at the close of a year. This job takes the activity in the previous budget fiscal year forward into the next year with a document modification, while also reverting and carrying forward budget authority to cover the rolled accounting activity
Pre Annual Close Sweep	Reads a specified input ledger for accounting activity in a prior fiscal year which should be swept out of that year and into the subsequent fiscal year before an Annual Close is performed against the prior year. During the sweep, the chain job creates Journal Voucher (JV) documents.
Automated Accrual Process	Creates documents for payments made in the current year with services dates that spanned into the prior year. The prior year portion of accrued expenditures, according to those service dates, is removed from the current year and booked into the prior year
Automated Accrual Clearing Process	Creates documents for disbursements and internal cash expenditures with service dates that spanned into the prior year. The prior year portion of the cash expenditure, according to those service dates, is removed from the current year and booked into the prior year. If there was a prior year accrual, that is reversed.

Lesson Summary

In this lesson, you:

- Review the Fiscal Year table
- Review the Accounting Period table
- Examine the open activity processes
- Examine the available batch and chain jobs

Check Your Progress

1. All documents of the same document type must be either lapsed or rolled, they cannot be separated.
    a. True
    b. False
2. Batch jobs can be run _____.
    a. By Department managers
    b. By the General Accounting Office
    c. Automatically
    d. Both b and c

9. BUDGET FISCAL YEAR STAGING

Learning Objectives

In this lesson, you will:

- Review the Budget Fiscal Year Staging processes

Lesson Overview

The General Accounting Office is responsible for managing system-wide settings that determine what can be processed in AFIS and when it can be processed. This lesson reviews the Budget Fiscal Year Staging configuration process in AFIS.

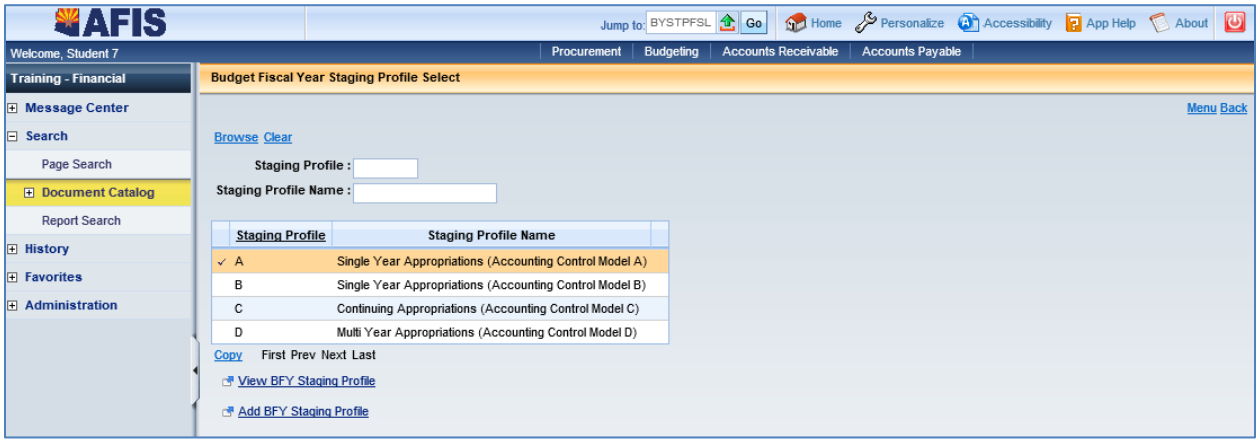
9.1. Budget Fiscal Year Staging

Budget Fiscal Year Staging refers to the rules established in AFIS for when budget and accounting documents with associated event types can be processed for a given budget fiscal year (BFY). During each BFY, most State and Local government entities have a variety of processing rules that identify what types of documents can be processed and when they can be processed.

The following terms are used in describing the functionality of BFY Staging:

- **Profile** – A collection of BFY Staging rules that define what can happen in established segments of time for documents and event types
- **Stage** – A segment of time defined in a profile. Each profile will have at least one stage defined
- **Profile Assignment** – The definition of a BFY and one or more Chart of Accounts codes that will use a profile. Assignments can use a wildcard value of **ALL** for COA codes

Profiles are accessed by opening the Budget Fiscal Year Stage Profile Select (BYSTPFSL) table. On this table, users can select and view an existing profile using the **View BFY Staging Profile** link or create a new profile using the **Add BFY Staging Profile** link.



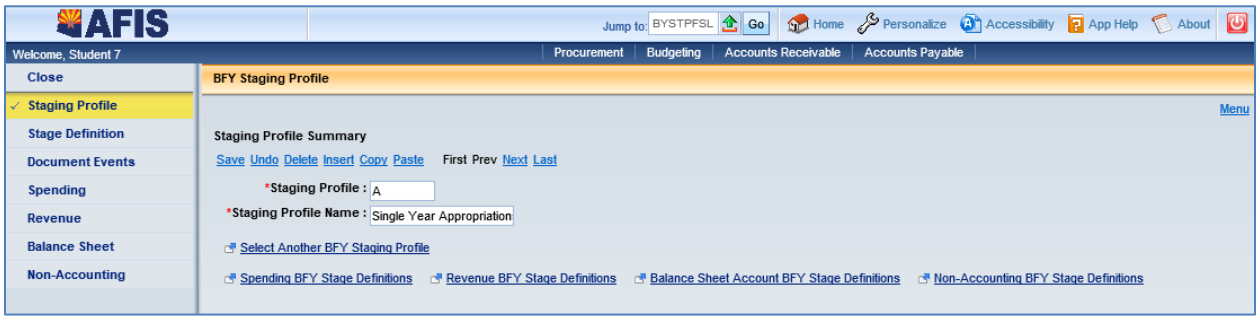
Setup Tables

The BFY Staging Profile and BFY Stage Definition tables together make up the BFY Staging Profiles in AFIS.

The BFY Staging Profile table consists of the first three sections in the BFY Staging Profile and these contain the information used to define the profile, stages, and document events that are controlled by the profile.

- **Staging Profile Summary** – Contains the summary information for the profile which includes the unique identifier Staging Profile and the user-defined Staging Profile Name
- **Stage Definition** – Contains the stages for the selected profile along with their descriptions
- **Document Events** – Contains the rules that govern what activities are permissible for the selected profile and stage combination

The BFY Stage Definition table consists of the last four sections (each section also has its own page code) in the BFY Staging Profile: **Spending**, **Revenue**, **Balance Sheet Account**, and **Non-Accounting**. These sections are used to view the profile assignments for all BFY Staging Profiles. If changes need to be made, each of the stage definition tables can be accessed by clicking the links at the bottom of the page.



The BFY Stage Definition tables are listed in Table 10 below.

Table 10: BFY Stage Definition Tables

Page Code	Table
BYSTDFSP	Spending BFY Stage Definition
BYSTDFRV	Revenue BFY Stage Definition
BYSTDFBS	Balance Sheet Account BFY Stage Definition
BYSTDFNA	Non-Accounting BFY Stage Definition

BFY Staging Profile

The first three sections that define the profile use filtering that only shows records on one section for the selected record on a previous section. For example, the Document Events are only shown for the selected Stage within a selected Profile.

Staging Profile Summary

The Staging Profile Summary section contains the following fields for user entry:

- **Stage Profile** – A required unique identifier assigned to the profile
- **Stage Profile Name** – A required text field that contains a name for the profile

Stage Definition

Each record in the Stage Definition section contains the following fields, only one requires user entry:

- **Stage** – A system generated unique identifier for a stage within a profile
- **Description** – A required text field that contains a name for the stage

Document Events

Each record (rule) in the Document Events section contains the following fields:

- **Document Code** – Requires a document code from the Document Control table
- **Document Code Name** – The name for the selected document code is inferred from the code
- **Event Type** – Requires an event type for the document code from the Allowable Event Types for Document Code table
- **Event Type Name** – The event type name is inferred from the event type
- **AFY versus BFY** – Defines the relationship of Accounting Fiscal Year and Budget Fiscal Year that will be allowed with the document code and event type combination
    - **Posting FY must be BFY** – Restricted, must be the same. This is the default value
    - **Posting FY must be greater than BFY** – Restricted, must be greater
    - **Posting FY must be less than BFY** – Restricted, must be less
    - **Unrestricted** – FY and BFY will not be evaluated for the BFY Staging rule

- **Referencing** – Defines the referencing requirements of a document code and event type combination. A Posting line that has a Line Function of Liquidation will not be evaluated against this rule for the event type and document code being liquidated
    - **Required** – A reference must be made with the document code and event type combination that has a Reference Type of Partial, Final, or Inverse. A Reference Type of Memo will not satisfy the rule
    - **Not Allowed** – Only a reference to a document code and event type combination that has a Reference Type of Memo or no Reference Type at all will be allowed. A Reference Type of Partial, Final, or Inverse will not satisfy the rule
    - **Unrestricted** – The reference information will not be evaluated for the BFY Staging rule. This is the default value
- **Line Action** – Defines the referencing requirements of a document code and event type combination. Evaluation of this value uses the Account Type and Code Type fields for the Posting line as shown in Table 11 to determine if it represents an increase or decrease for BFY Staging

Table 11: Posting Line Action Increase or Decrease

Code Type	Account Type	Debit	Credit
Spending		Increase	Decrease
Revenue		Decrease	Increase
Balance Sheet Account	Asset	Increase	Decrease
Balance Sheet Account	Liability	Decrease	Increase
Balance Sheet Account	Equity	Decrease	Increase
Balance Sheet Account	Asset Offset	Decrease	Increase
None of the Above		Increase	Decrease

    - **Increases Only** – Only posting lines that are considered an increase are allowed
    - **Decreases Only** – Only posting lines that are considered a decrease are allowed
    - **Unrestricted** – The line action information will not be evaluated for the BFY Staging rule. This is the default value
- **Liquidation Lines** – A checkbox that, if checked, indicates the staging rule will only apply to a liquidation posting line. This box should be checked when a staging rule should only apply to liquidation posting lines and not to non-liquidation posting lines

BFY Stage Definition

Each of the four BFY Stage Definition pages: Spending, Revenue, Balance Sheet Account, and Non-Accounting, contain the same three sections. These pages are used to define a combination of BFY and COA elements available for a profile assignment as well as the stage start and end dates for each stage in the profile assignment.

Profile Assignments

The Profile Assignments section is used to assign a profile to a combination of BFY and COA elements. For the COA elements, a value of **ALL** can be entered that stands for all values of the field including blank. The following fields are available in the Profile Assignments section:

- **Budget FY** – Valid values must be defined on the Fiscal Year table or be 9999 for a multi-year record
- **Fund** – Requires a valid value from the Fund table, or ALL
- **Department** – Requires a valid value from the Department table, or ALL
- **Appr Unit** – Only on the Spending table, requires a valid value from the Appropriation table, or ALL
- **Revenue** – Only on the Revenue table, requires a valid value from the Revenue Source table, or ALL
- **BSA** – Only on the Balance Sheet Account and Non-Accounting tables, requires a valid value from the Balance Sheet Account table, or ALL
- **Staging Profile** – The profile, to which an assignment should follow, requires a valid profile value from the Staging Profile Summary page. The value ALL is not allowed
- **Staging Profile Name** – A text field for the name of the profile, inferred from the Staging Profile entered

Stages

The Stages section is used to assign starting and ending dates to each stage in a profile. Stages are not allowed to have a gap between the end date of one stage and the start date of the following stage. AFIS will automatically adjust the dates for prior and subsequent stages based on the data entry for the current stage. Most of the fields in this section are inferred from the selected Profile Assignment record. The following fields require data entry:

- **Stage Start Date** – Defines the start date of the stage for the given profile
- **Stage End Date** – Defines the end date of the stage for the given profile. If the stage needs to extend indefinitely, then the date selected should be far in the future

Document Events

The Document Events section does not require any data entry. It allows users to browse the various rules defined for the selected profile and stage.

Lesson Summary

In this lesson, you:

- Reviewed the Budget Fiscal Year Staging processes

Check Your Progress

1. BFY Staging Profiles require more than one stage.
    a. True
    b. False

2. Stages may start up to one week after the prior stage ends.
    a. True
    b. False

10. General Accounting Reporting

Learning Objectives

In this lesson, you will:

- Review reports available in General Accounting

Lesson Overview

AFIS includes several reports for monitoring General Accounting.

10.1. Reports

The key reports needed to support the AFIS General Accounting business processes are listed below.

- **FIN-AZ-GA-N368** - Totals for all Revenue & Expenditure Transfers - This report displays all Revenue & Expenditure Transfers by document, accounting period, department, fund
- **FIN-AZ-GA-N371** - Totals for Operating Transfers - This report displays all operating transfers by document, department, fund class and fund
- **FIN-AZ-GA-N388** - Outstanding Open Items - Lists all Documents with an open balance by Document Department and Document Code
- **FIN-AZ-GA-N457** - Open Transfers by Initiating Department - This report shows all open transfers where ITI is Final and ITA has not been processed
- **FIN-AZ-GA-N389** - YTD Balance Sheet Detailed Transaction - This report contains the Detailed General Ledger transactions, starting with beginning balance for the prompted fiscal year and lists transactions through to the end of the prompted fiscal period. This report is cumulative through APD "+[Accounting Period Prompt]+"."
- **FIN-AZ-GA-N397** - Detailed Transaction Listing - The Report shows detailed journal accounting transactions for a time range from Date to Date with a given Fiscal Year

Lesson Summary

In this lesson, you:

- Reviewed reports for General Accounting

Appendix

ANSWER KEYS

Lesson 2

1. b. False **(Section 2 - Lesson Overview)**
2. b. False **(Section 2.1 – Posting Codes and Event Types)**
3. c. Hard **(Section 2.2 – Functions)**

Lesson 3

1. a. True **(Section 3.1 – Cash Balance)**
2. d. Both a and c **(Section 3.2 – FY Balance Sheet Detail)**

Lesson 4

1. d. Activity **(Section 4.1 – Decentralized COA codes)**

Lesson 5

1. b. False **(Section 5.2 – Vendor)**
2. c. Records an Internal Encumbrance on funds **(Lesson 5 overview)**

Lesson 6

1. b. False **(Section 6.3 - Data Entry)**
2. b. Vendor **(Section 6.2 - Internal Exchange Transaction Document Components)**

Lesson 7

1. b. False **(Section 7.1 – Figure 5)**
2. d. Both a and b **(Answer seems to be by omission of any restriction instead of a positive statement that confirms both are allowed)**

Lesson 9

1. b. False **I was unable to find the appropriate reference point for this answer**
2. d. Both b and c **No direct info found to support answer B**

Lesson 10

1. b. False **(Section 10.1. - Budget Fiscal Year Staging)**

2. b. False **(Section 10.1 – Stages)**