CHAPTER 14

PAYMENTS FROM COMPUTER MEDIA

INTRODUCTION

This chapter is currently being revised by the Auditor of State's office. Updates for this chapter will be made available after all edits are competed.

Agencies can submit certain types of payment information on computer media. Payments made from computer media can increase control and efficiency. This chapter explains the payment options available, requirements of each, processing instructions, documents and information returned or reported to the agency, and agency verification procedures.

Contact the Auditor of State's Office to obtain disk programs or tape format details.

PROCESS SUMMARY

The Auditor of State uses two batch systems for processing warrants, the DBS system and the High Volume system. Each of these batch systems can process payments from floppy disks. The primary distinction between the two systems is that the DBS system uses the vendor file maintained by the Auditor of State. The agency submits the vendor number, including a location code when applicable, and 1099 code, which may be NO for non-reportable payments. Payee names and addresses are then applied from the vendor file. The High Volume system does not use the vendor file, but issues payments to payee names and addresses as supplied by the agency. The High Volume system can only be used to process non-1099 reportable payments. The Auditor of State is no longer accepting new agencies to process payments using The High Volume system. Transactions processed through either system post to the general ledger. All warrants issued from either system post to the Auditor's reconciliation file.

Batches submitted on computer media may contain payments from various agency fund/centers. Separate computer batches are required for refunds of revenue and each major expenditure point. On DBS system batches, each payment may have multiple object entries to a center. On High Volume system batches, each payment is recorded to a specified fund/object/center.

In addition to the computer media, each batch requires a claim voucher per payment, certified by the authorized agency official, two vouchers abstract forms (for the entire packet), and two Auditor computer operation forms. Disk batches also require printouts. These printouts are a detail list of payment information contained on the diskette to be processed.

The Auditor's Office performs document pre-audit, and computer validation, as applicable. Control numbers and document references are assigned to the batch.

Control numbers for vendor file payments from computer media begin with 8. Numbers 8000 to 8200 are assigned to disks, and above 8200 to tapes. Control numbers for high volume batches begin with 9. Numbers 9000 to 9200 are assigned to disks, and above 9200 to tapes.

PAYMENTS PROCESSED FROM PERSONAL COMPUTER DISKS

The Auditor of State's Office has designed two personal computer programs for agencies to enter and submit payments on a floppy disk. The personal computer programs and the Auditor's warrant system both use the Vendor File Payment Program for the DBS system and the Schedule Payment Program for the High

Volume system. These user friendly programs were designed for IBM or IBM compatible personal computers and may use either 3 ½" or 5 1/4" disks. With either program, the disk batch may include payments from various agency fund/centers. The disk programs also allow agencies to create data bases of recurrent payments such as monthly travel claims, utility payments or grant payments. Such use is further explained in the section for Processing Recurrent Payments. The Auditor's Office also offers record layouts called AUDCLAIM and HVAUDCLAIM. This allows agencies to enter payment information into their own system and programatically make it fit into the requirements of The AUDCLAIM or HVAUDCLAIM record layout. Please keep in mind that The Auditor's office is no longer accepting new agencies to use the Schedule and HVAUDCLAIM programs.

A summary of the use of each program is given below. Following this are the disk batch procedures and sections for each program's processing and program instructions.

Vendor File Payment Program

The following types of documents can be processed on this program: travel vouchers, claim vouchers (which may be 1099 reportable or non-reportable), non-1099 reportable SDO reimbursement vouchers, and land acquisition claims. Payee identification numbers are required and must be recorded in the Auditor's vendor file. Any required file additions or address changes can be submitted with the disk batch on IRS Form W-9, signed by the payee. For the non-1099 reportable SDO vouchers, the officer's identification is the factor number.

Separate disk batches are required for each document type and expenditure category, except that SDO batches can include various non-1099 expense reimbursement vouchers. The same requirements for documents, itemized vendor invoices or receipts, signatures, and other agency approvals apply whether filed manually or using this program. Supporting documents are submitted with the disk, printout, and two batch operation forms. The Auditor of State pre-audits the documents and batch entries prior to authorizing warrant issuance.

Schedule Payment Program

The Schedule Payment Program can be used to process the following non-1099 reportable payments: refunds of revenue, expenditure objects two and seven other than grants or distributions. The State Board of Accounts requires use of vendor numbers for all grants or distributions to local government units and thus prohibits the use of the Schedule Payment Program for these payments. Instead, process these payments on the vendor file payment program.

The Schedule Payment Program is processed through the high volume system, so vendor numbers and tax codes are not recorded. For each payment, the agency enters the payee name, address, fund/object/center and amount. The disk, printout, and operations forms are submitted with one approved claim voucher for the batch total. For expenditure object two, supporting claims or utility statements must also be submitted. For refunds of revenue or expenditure object seven, the agency retains the supporting documentation.

The document reference for computer batches processed is sixteen digits, of which the last six are for the disk or tape record number. The first ten digits are reported on the General Ledger Activity reports. The document reference for DBS system batches begins with the agency number. For high volume batches, the document reference begins with HV. All computer batches have a batch identifier and the julian date within the reference. Disk batches have a numeric system identifier; whereas, for tape batches the system identifiers are letters. The julian date is the number for the day of the year, 001 to 365. The following are the document reference codes used.

DBS System Batches:		
###IIYYDDD		
###	-	Agency Number
II	-	Batch Identifier
YYDDD	-	Year and Julian Date

High Volume Batches:		
HV###IIDDD		
HV	-	High Volume
###	-	Agency Number
II	-	Batch Identifier
DDD	-	Julian Date

AUDCLAIM AND HVAUDCLAIM

AUDCLAIM and HVADUCLAIM are not data entry programs. They are merely record layouts. It is expected that an agency using AUDCLAIM or HVAUDCLAIM have it's own system and is building the AUDCLAIM or HVAUDCLAIM format via an extract program.

WARRANTS AND INFORMATION RETURNED

Warrants are issued in the same order as submitted by the agency on the tape or disk. The peach warrant series, with stubs, is used for DBS system batches. This is the same series issued for all voucher and local government payments. The purple warrant series, without stubs, is issued for High Volume system batches. Certain HV tape batches for the Department of Revenue and Family and Social Services Administration have their own warrant series.

Warrants printed are distributed to the agency with the processed voucher abstract form(s), computer operations form, a Batch Invoice Error Report, and a Batch Invoice Summary Total Report. Each warrant issued for DBS system batches is listed on the Warrant Distribution Report printout. For tape batches, agencies make arrangements to receive any or all of the following: a tape of warrant information, or a laser printed warrant register. The warrant registers may be produced in alphabetical order by payee name, or in numeric order of warrants issued.

For each processed batch, the agency is responsible for determining that:

All warrants, documents, and reports issued were received and had been properly authorized by the agency.

Warrants were issued accurately for the correct amount, payee name and address.

Such determinations should be made prior to mailing or distributing the warrants. Suggested procedures are given for each type of computer batch. Whenever possible, the verifications should be performed by staff other than those preparing or authorizing the transactions or batch media.

DISK BATCH PROCEDURES

Perform the following procedures to process a disk batch:

1. Calculate the total amount of the batch and the number of payments included. Use a calculator with an item count setting.

2. Complete the Auditor of State Computer Operation Form for the type of disk program used. Enter the number of payments (invoices) calculated and the total dollar amount.

3. Determine the batch name. The name consists of the three digit agency number followed by a space and up to 16 characters for the vendor file payment program, or 26 for the high volume schedule program. The name should be descriptive and include the date. Enter the batch name on the Computer Operation Form.

4. Prepare two disk labels with the disk batch name.

5. Perform data entry on the personal computer using the labeled disk. Follow the instructions for the program used.

   When entering each payment record, post the batch name and record number onto the source document.

   Note: The record numbers for each batch begin with number two.

6. Upon completion of data entry for the batch, use option T from the main menu for a display of the invoice count and total amount. Compare the amounts displayed to the invoice count and total amount calculated and listed on the operations form. If there is any difference, or if any invoices are listed as out of balance, then use the L option to list the records on screen and compare each to the source documents. Use Option O on the vendor payment program to display out of balance records.

7. When the disk totals agree to that calculated for the batch then use option P and print two reports. Also, create a backup disk.

8. Deliver the following to the Auditor of State's Office *:

   Disk
   Two (2) Computer Operations Forms
   Printout
   Documents, as required for each payment. Provide time in the order as entered on the disk.

   * Submit point one claim batches to the Budget Agency for approval. Submit expenditure objects three, four or five claims or non-1099 SDO Reimbursement Voucher batches to the Department of Administration for approval. For these, secure the disk in an envelope or sleeve, stapled to one of the computer operations forms.

9. Retain the backup disk and printout in a pending file with a copy of all documents for the batch. Do not photocopy documents prior to data entry and recording the batch name and record number on the documents.

10. Verify warrants and reported information when received from the Auditor of State. Whenever possible have warrants verified to source documents by someone other than staff authorizing or preparing disk entries.

INSTRUCTIONS TO COMPLETE AUDITOR OF STATE COMPUTER OPERATIONS FORM

Complete the form sections legibly in ink. Use the form for the type of disk program submitted, either the VENDPYMT Diskette or the Schedule diskette Non-1099.

1. Enter your name as requestor and provide your phone number and the date.

2. Complete the schedule name sections of agency number and description. Enter the complete batch name as the description. The batch name should include the date. It is listed as the title of the disk report and is entered on the disk label.

3. In the Operations section of the form, enter the number of payment records as the number of invoice and provide the total dollar amount of the disk batch payments. Leave the other sections blank.

4. Enter the names and phone numbers of two agency employees to be contacted by the Auditor's Office as needed.

[ATRA] [BOLP] [DSDO] [ESDO]

Indiana Auditor of State

[ ] W-9 Form (s) Enclosed

VENDPYMT DISKETTE - VENDOR FILE PAYMENT PROGRAM

1 COPY Due to Agency Service Center, Room 144, by 10:00 a.m.

AGENCY INFORMATION

Requestor	Telephone #	Date

DISKETTE INFORMATION

Agency Number	Sys ID	Description

Number of Invoices	Dollar Amount

AGENCY CONTACT INFORMATION

If any problems with the diskette or balancing occur, the following individuals can be contacted:

Contact Name	Telephone #
Contact Name	**Telephone #**

AUDITOR OF STATE INFORMATION

LOG-IN		LOG-OUT	AGENCY complete if date other than system date
Date Received	Date Approved	Date Returned to Agency	Warrant Date

Pre-Edit	UpLoad	Edit Reports	FROM WARRANT NUMBER	TO WARRANT NUMBER
1/3 PRE1099U A	1/4 PR1099UP A			

COMMENT SECTION - to be used if agency is contacted.

Name of person called	Telephone #	Date Called

Agency verbal instructions: Processing requirements for this program are as follows: Voucher Abstract (1), Claim Voucher (1), and Supporting documents (As Required) to be placed within an Interdepartmental Mail Envelope (State Form 3 or equal) with this cover sheet taped to the outside of the envelope (the tie-down flap MUST be exposed) Additional copies of these documents are not required under this program.

[1-HOLD A] ANX [4-1099 UPLOAD] //SESSION// CA7TRIGG (SCHD1099) ENTER-ENTER-ENTER //SESSION// WAIT

HV

Indiana Auditor of State

[ ] W-9 Form (s) Enclosed

SCHEDULE DISKETTE - NON-VENDOR FILE PAYMENT PROGRAM

1 COPY Due to Agency Service Center, Room 144, by 10:00 a.m.

AGENCY INFORMATION

Requestor	Telephone #	Date

SCHEDULE INFORMATION

Agency Number	Sys ID	Description

Number of Invoices	Dollar Amount

AGENCY CONTACT INFORMATION

If any problems with the diskette or balancing occur, the following individuals can be contacted:

Contact Name	Telephone #
Contact Name	Telephone #

AUDITOR OF STATE INFORMATION

LOG-IN		LOG-OUT	AGENCY complete if date other than system date
Date Received	Date Approved	Date Returned to Agency	Warrant Date

Pre-Edit	Load	Edit Reports	FROM WARRANT NUMBER	TO WARRANT NUMBER
	PRMISCUP A 1/2			

COMMENT SECTION - to be used if agency contacted.

Name of person called	Telephone #	Date Called

Agency verbal instructions: Processing requirements for this program are as follows: Voucher Abstract (1), Claim Voucher (1), and Supporting documents (As Required) to be placed within an Interdepartmental Mail Envelope (State Form 3 or equal) with this cover sheet taped to the outside of the envelope (the tie-down flap MUST be exposed) Additional copies of these documents are not required under this program.

[1-HOLD A] ANX [2-HV UPLOAD] //SESSION// CA7TRIGG (SCHEDULE) ENTER-ENTER-ENTER //SESSION// WAIT

AUDCLAIMS
[ATRA] [BOLP] [ESDO] [DSDO]

Indiana Auditor of State

1099 REPORTABLE PAYMENTS

1 COPY Due to Agency Service Center, Room 144, by 10:00 a.m.

[ ] W-9 Form (s) Enclosed

AGENCY INFORMATION

Requestor	Telephone #	Date

DISKETTE INFORMATION

Agency Number	Sys ID	Description

Number of Invoices	Dollar Amount

AGENCY CONTACT INFORMATION

If any problems with the diskette or balancing occur, the following individuals can be contacted:

Contact Name	Telephone #
Contact Name	**Telephone #**

AUDITOR OF STATE INFORMATION

LOG-IN		LOG-OUT	**AGENCY complete if date other than system date**
Date Received		Date Returned to Agency	Warrant Date

Pre-Edit	**Load:**	Edit Reports	FROM WARRANT NUMBER	TO WARRANT NUMBER

COMMENT SECTION - to be used if agency is contacted.

Name of person called	Telephone #	Date Called

Agency verbal instructions: Processing requirements for this program are as follows: Voucher Abstract (1), Claim Voucher (1), and Supporting documents (As Required) to be placed within an Interdepartmental Mail Envelope (State Form 3 or equal) with this cover sheet taped to the outside of the envelope (the tie-down flap MUST be exposed) Additional copies of these documents are not required under this program.

[AUD CLAIMS UPLOADS] //SESSION// CA7TRIGG (AUDCLAIM.TXT) ENTER-ENTER-ENTER //SESSION// WAIT

HV AUDCLAIMS

Indiana Auditor of State

HV AUDCLM DISKETTE - NON-VENDOR FILE PAYMENT PROGRAM

1 COPY Due to Agency Service Center, Room 144, by 10:00 a.m.

AGENCY INFORMATION

Requestor	**Telephone #**	**Date**

DISKETTE INFORMATION

Agency Number	**Sys ID**	**Description**

Number of Invoices	**Dollar Amount**

AGENCY CONTACT INFORMATION

If any problems with the diskette or balancing occur, the following individuals can be contacted:

Contact Name	**Telephone #**
Contact Name	**Telephone #**

AUDITOR OF STATE INFORMATION

LOG-IN		LOG-OUT	**AGENCY complete if date other than system date**
Date Received		Date Returned to Agency	Warrant Date

Pre-Edit	**Load:**	Edit Reports	FROM WARRANT NUMBER	TO WARRANT NUMBER

COMMENT SECTION - to be used if agency is contacted.

Name of person called	Telephone #	Date Called

Agency verbal instructions: Processing requirements for this program are as follows: Voucher Abstract (1), Claim Voucher (1), and Supporting documents (As Required) to be placed within an Interdepartmental Mail Envelope (State Form 3 or equal) with this cover sheet taped to the outside of the envelope (the tie-down flap MUST be exposed) Additional copies of these documents are not required under this program.

[HV AUD CLAIMS UPLOADS] //SESSION// CA7TRIGG (HV AUDCLAIM.TXT) ENTER-ENTER-ENTER //SESSION// WAIT

VENDOR FILE PAYMENT PROGRAM

Documents Required

When the Vendor File Payment Program is used, it is necessary to send the same paperwork that would normally be sent to the Auditor's Office. This includes Voucher Abstracts, Claim Vouchers, Travel Vouchers, receipts or vendor invoices, etc. These forms must be properly completed, documented, and approved. The same document standards apply, whether the documents are entered on disk or not. The requirements for payee signatures, vendor invoices or receipts, certified agency approval, and other agency approvals remain. If one document is deficient, the Auditor's Office may reject the entire disk batch. Except for the items noted below, the state forms are prepared in the same manner as specified in the related chapters of this manual.

1. Upon submitting the disk batch, the documents are assigned the document reference of the batch name and record number. Do not assign C, T or L numbers to the claims, travel or SDO reimbursement vouchers. Instead, enter the disk batch name and record number on both the voucher documents and voucher abstracts. Later, when the processed disk and documents are returned to the agency, enter the batch reference assigned by the Auditor's system.

2. Voucher Abstracts do not require the payee names and amounts to be listed. Provide the total amount of the attached vouchers for the fund/center and refer to the disk name, as "See Attached Report for . . . disk report name." In the starting and ending document numbers sections, enter the record numbers for the applicable voucher entries.

Record numbers are assigned and displayed by the program upon data entry. When entering vouchers into the program, write the batch name and assigned record number on the document. This enables you to know which claims need to be entered if you are interrupted and prevents documents from being omitted or entered twice. The record number is also required for a data entry correction. Disk batches begin with record number two.

When the disk is processed, the Auditor's system assigns a batch reference of the agency number, batch identifier number, and julian date. The record numbers are retained and are included on some reports. Post this batch reference to the processed documents.

Along with the normally required documents, complete two Auditor of State operations forms for the "Vendpymt Diskette." This is also referred to as a cover sheet. Attach the printout obtained from the P option from the program to the cover sheets. Submit the claims or other documents in record number order, as shown on the printout.

Batch Preparation

Prepare separate batches for each document type: travel vouchers, claim vouchers, non-1099 SDO reimbursement vouchers, and land claims. Other batch requirements are shown below.

Travel Vouchers

The disk batch can include travel vouchers for various agency fund/centers, with the same major expense category. Submit expenditure object eight travel vouchers on a separate disk batch from object nine travel vouchers. As is normally required, submit two voucher abstract forms for each fund/center with travel vouchers. Prepare the voucher abstract as indicated in the previous section.

When entering travel payments on the program, payee names are input with the identification number. Travel voucher payments have a 1099 code of NO. Twenty spaces are provided for the remittance message printed on the check stub.

Claim Vouchers

Create separate batches for each expenditure category, points one through nine. The disk batch can include claim vouchers for various agency fund/centers. Two voucher abstract forms are submitted for each center's claims. Prepare the voucher abstract as explained in the previous section. Include IRS Form W-9, Request for Taxpayer Identification Number and Certification, to record the payee to the vendor file or for address changes.

The program allows a remittance message of up to forty characters.

Submit object one batches to the State Budget Agency for approval. Submit object three, four, or five batches to the Department of Administration for approval.

Non-1099 SDO Reimbursement Vouchers

The disk batch may include non-1099 SDO reimbursement vouchers for various expenditure categories and for various SDO officers. Officers must prepare SDO Reimbursement Vouchers in the same manner for each category (point). The SDO factor number, shown on the reimbursement voucher, is the payee identification number. Forty spaces are provided for a remittance message to appear on the check stub. Submit batches which contain point three, four, or five expenses to the Department of Administration for approval.

Land Payments

The 1099 code of LA is used for these payments. Forty characters are provided for a remittance message to appear on the check stub.

Batch Name

The batch name consists of the three digit state agency number, followed by a space and then a name up to 16 characters. The name should be descriptive and include the date prepared. Write the batch name on the disk labels, and documents. The batch name is input while using the program and is shown as the title on the printout.

Examples:
050 TRAVEL 5/6/97
050 BOARD TRAVEL 3/22
050 CLAIMS 3/22/97
050 SDO-UTILITY 5/15

Entering Transactions

Prior to entering transactions, all required documents should be completed with all the necessary attachments and be approved by the authorized agency official. Two program diskettes should be labeled with the batch name as explained above.

To use the program, do the following:

1. Insert the diskette into the disk drive from which you plan to run the program. Switch your prompt to that drive. If you put the disk in drive A, type A: and press enter. For drive B, type B: and press enter.

2. Type vendpymt at your DOS prompt and press enter. You are asked which drive your diskette is inserted in, which is either A or B. Next you are asked if you want colors on the screen. Press Y or N.

3. You are asked to enter the schedule name, which is the batch name as in the example above. This schedule name must also be written on the outside label of the diskette.

4. The next prompt is for the Fund, Object and Center default information. Defaults remain the same until the H option is used to change the default fund/object/center. The H option changes the fund, object, or center defaults for all new payments being entered, not the ones that have already been keyed in.

5. The next prompt requests the number of the document type processed on the diskette. Enter:

   1 for travel
   2 for claim voucher
   3 for SDO non-1099
   4 for land payments

6. Enter the 1099 default code. The code is NO for travel and SDO, and LA for land purchases. For claim vouchers, the code is determined based upon the type of payee and payment. Enter the 1099 code which appears most frequently for the batch. [See Chapter 5 for more information on 1099 codes.]

7. Enter a default remittance message, up to 40 characters, except for travel which has up to 20 characters. The remit message is printed on the check stub. It also appears on the disk batch printout.

8. Once you have completed these steps, a menu appears listing the various options available. Select the A for add, to start entering new payments. Once option A is selected, you are prompted to enter each of the following:

   VENDOR NUMBER - Enter a zero followed by the employee's social security number, the vendor's social security number or the vendor's federal ID number, as applicable. For SDO, enter the SDO officer's factor number as given on the Reimbursement Voucher. The ten digit number is composed of the agency number, followed by the four digit LP number and three zeros.

   VENDOR GROUP CODE - Enter the two digit group or location code for the vendor number. This prompt can be skipped over by pressing enter if it does not apply to the vendor. It does not apply to travel, SDO, or most land payments.

   INVOICE TOTAL AMOUNT - Enter the total amount of the claim, travel or SDO voucher.

FUND, CENTER AND REMIT MESSAGE - To receive the current default fund, center and remit message, press enter at each of the prompts. To override them enter a different fund, center and remit message for this particular payment. The defaults will remain the same for the next transaction entered.

NAME - Only the travel voucher option contains this prompt for the payee name. Enter the employee name for the travel voucher in the format of: last name space first name. Example: SMITH ROBERT

OBJECT ENTRIES - The next prompt requests the detail amount to be paid for an object. Each document can have more than one object total. Enter the total amount for each object and the 1099 code as line information.

When the object and amount have been entered, the difference between the total invoice amount and the lines entered is displayed and you are asked if you have more lines to enter. Twenty-one invoice lines for object entries are available for each payment. Press Y to continue to enter the next object and its information.

CHECK AND POST THE ENTRY - Upon entering N, for no more detail invoice lines to enter, the payment information is displayed. Post the record number to the document. The record number is the first number shown on the first line, presented to the left of the payee identification number. Compare the entry shown to the document. If "out of Balance" is shown, or an error is observed, then correct the record. Return to the main menu, and use option C to change the record. Resume data entry with option A from the main menu.

ENTER THE NEXT PAYMENT - When you have completed all entries for a particular payment, the program asks if you want to enter more payments. Select Y to enter the next document. The process is repeated beginning with the prompt for the vendor number.

9. Once you finish entering payments, instead of selecting a Y to add another payment, select N and the options menu is displayed.

   Note: All transactions do not have to be entered at one sitting. You can exit the program. As long as your data file is on the diskette it will automatically add to that file when you reload the program. The data file has the name VENDPYMT.DAT.

   When the batch entry is complete, use option T, Total, to display the total amount, number of invoices, and the number of out-of-balance invoices. Compare the total amount and the number of invoices to the batch total and item count calculated and listed on the disk operations form. The disk batch must show zero out-of-balance invoices to be submitted to the Auditor of State.

   When the disk totals agree to that calculated for the batch, then use option P and print two reports. One is submitted to the Auditor of State and one is retained in agency files.

Backup Diskette

Be sure to make a backup of your diskette before sending it to the Auditor's Office. This ensures the data is safe in the event that the diskette gets damaged.

Changing the Current Default Information

Defaults reduce the data entry required for groups of payments with the same fund, object, center, 1099 code, or remittance message. These defaults can be changed as needed. To change a default, select the H option from the main menu. Once you have done so, the change options are displayed. For each option you select to change you are asked to enter the new default. When you have changed all of the defaults desired, select N and you are returned to the program's main menu.

When the H option is used, the defaults are changed for all new payments to be entered. It does not affect payments that have already been entered.

Changing Individual Records

Once you have built your data file, you can make changes to each record on the diskette as needed. To do so, select the C option from the menu. You are then prompted to enter the record number to be changed. The record information is displayed with a menu listing the options to change specific fields. Enter the letter for the field that you wish to change. If you select G, then you are asked to enter the number of the detail line for an object, amount, or 1099 code change. To determine the line number, count across from left to right. The line number displayed at the far left is that of the object line shown in the left column. The record is displayed after changes are entered. When there are no more fields to change for this record, respond with N and you are returned to the main menu.

Mass Changing All Records

The M option from the main menu can be used to change all records on the file to certain defaults that are set currently. The four options available from the mass change menu are to change every record on the file to the current default fund, the default center, amounts to zero and the default remit message. When you select any of the four options on this menu and press enter, all records are automatically updated with the option chosen.

ITEMS RETURNED FOR A PROCESSED DBS DISK BATCH

After the Auditor's Office has processed payments submitted on a Vendor File Payment Program disk, the agency receives the following documents and reports. Examples of each report follow:

- Warrants issued with stubs for payee information. Warrants are issued in the disk record number order as submitted by the agency.

- Warrant Distribution Report. This printout includes all payments issued for the agency that day, except high volume batches. Warrants are listed in warrant number order, with the payee vendor number, fund/object/center, document reference and warrant amount. Detail of multiple object entries is not provided.

- The disk is returned and renamed as VENDPYMT.BAK.

- Computer Operations form for the batch, as submitted by the agency and completed by the Auditor's Office.

- One of each of the voucher abstracts or SDO Reimbursement Vouchers submitted is returned. The Auditor's Office has entered the control number and date processed.

- Report ID: HV0260 1099 PC-MSA Batch Total Report. This is the first report run by the Auditor's Office upon receiving the disk batch. It is used to pre-audit documents and identifies records which require a vendor file entry from Form W-9.

The first section of this report extracts the payee name from the master file for the payee number provided on the disk. The fund/center and object detail lines are also listed for each payment. Following this are the total batch amount and number of payments (IH records). Any records in error are counted and listed.

The second section of the report provides the batch total, control number, the batch document reference of the agency number, system identifier number and the julian date.

- Report ID: DB0300-SUM Batch Invoice Summary Total Report
  This report provides the total amount to be recorded to each fund/object/center, the number of payments (IH records) and invoice lines of object detail (IL records), comprising the total. The batch total is then calculated and shown with the total number of payments for the batch (IH records) and the total number of object entries (IL records). The report shows that the payment records are in balance with the total object entries.

- Report ID: DB0300-ER Batch Invoice Error Report
  The document reference assigned to the batch is shown to the right of the report heading. The body of the report contains the agency number, control date and control number. All disk batches processed will have a non-fatal error message that the control group number does not match the table. No agency action is needed. By design, the control numbers for disk batches are not table information.

- Warrant Register
  A warrant register is provided on microfiche for each disk batch processed. The register lists warrants in alphabetical order by payee name.

PROCEDURES UPON RETURN OF PROCESSED DBS DISK BATCH (Vendor Payment Program)

Upon receiving the processed warrants, documents and reports for the batch, pull the batch from the agency pending file. Perform the following procedures:

1. Determine that all warrants processed for the batch were received.

   (a) Compare the number of warrants received to the number listed as "total invoices" on the agency printout retained for the batch.

   (b) Also, compare the number of warrants received to the grand total number of IH records listed on the Batch Invoice Summary Total Report, Report ID: DB0300-SUM.

2. Prior to mailing or delivering warrants, the agency must verify the warrants were issued accurately. Compare the warrants to the agency copies of the claim or travel vouchers, or SDO reimbursement vouchers for the batch. Determine warrants were issued for the correct amount and to the correct payee name and address.

3. Document the warrant numbers received for the batch. List the beginning and ending warrant numbers received on the agency printout for the batch.

4. Record the official batch document reference on all source documents. The official document reference has the form ###IIYYDDD, where:

   ### - is the agency number,
   II - is the system identification number assigned,
   YYDDD - is the year and julian date.

   The components of the document reference are listed on the 1099 PC-MSA Batch Total Report, Report ID: HV0260. Post the document reference from this report to the: batch printout; voucher abstracts; claim, travel, or SDO reimbursement vouchers; and other agency records to which the payments are posted.

5. Determine that the total amount of the processed batch equals the amount authorized by agency. Compare the total amount listed on the Batch Invoice Summary Total Report (Report ID: DB0300-SUM) to the total listed on the agency printout for the batch.

6. Upon receiving the general ledger Available Funds Activity Report for each center, the voucher abstracts or SDO reimbursement vouchers for the batch are used to verify the expenditure object (point) totals recorded.

7. Maintain one complete file for each disk batch processed. Retain the processed forms and printouts issued by the Auditor of State, with the agency document copies and the batch printout.

   The agency should maintain separate files for each type of disk batch processed: travel vouchers, claim vouchers, and the non-1099 SDO. File disk batches by the date processed.

Restoring Disk Files

Prior to submitting the disk for payment processing, the disk data file has the name of VENDPYMT.DAT. When returned, the file has the name VENDPYMT.BAK. To restore the file, type the DOS command RENAME VENDPYMT.BAK VENDPYMT.DAT and press enter. This restores the file for program access and future use.

Processing Recurrent Payments

The vendor payments program allows for a database creation for processing recurrent payments, such as: monthly travel claims or utility payments. When used in this manner, each payee record must be reviewed and all necessary changes and deletions input to create the next payment batch. If claims have not been received for some payees, their payee record can be retained in the batch with a zero amount shown. The program omits records for a zero amount from the total invoices to process, so that no warrants are printed for these. The records remain on the disk for the next batch of payments.

Establish batches for recurrent payments of a similar type which are due or submitted at approximately the same time each month. For a database use, organize the batch in numerical order of the vendor number. This enables you to readily locate a record in the batch and organize the vouchers in the required corresponding order to the disk.

Perform the following procedures to process recurrent payments using the vendor payment program:

1. Change the disk label to the current processing date.

2. Restore the disk, as explained in the previous section.

3. Change the batch name to include the current processing date and/or time period to which the batch relates. Enter H from the main menu for this header change option.

4. Mass change all amounts to zero dollar amounts. Enter M from the main menu and option 3 to change all records amounts to zero.

5. Change the remit message, as needed. Change the default remittance message using option H on the main menu. Then select option M to mass change all records in the file to the new default remittance message.

6. Review each record and the voucher submitted for payment. Change amounts and other fields as needed.

7. Enter the batch name and record number on the source document processed.

8. Submit the batch in the same manner. The same document standards apply. Apply the same procedures upon the return of the processed disk batch.

SCHEDULE PAYMENT PROGRAM

Use

The schedule program is only used to process "NON-1099" reportable transactions. Each payment is limited to one object entry. The types of payments processed on schedule program batches are those which do not require another agency's approval and can be delivered directly to the Auditor of State's Office. The program can be used to process the following non-1099 reportable payments: refunds of revenue, expenditure objects two and seven payments, other than grants or distributions. This program is not to be used for grants or distributions to local governmental units. Instead, process these payments on the vendor file payment program using the vendor number.

The disk batch can include entries for various agency fund/centers within the same major expenditure object category. Submit separate batches for refunds of revenue, and objects two and seven expenditures.

Documents Required

Payments submitted on the schedule program disks generally do not require individual claim vouchers to be submitted to the Auditor's Office for each payee claim. For expenditure object two, submit supporting claims or utility statements. For refunds of revenue or object seven payments, the agency retains supporting documents. Supporting documents must reference other agency records which pertain, such as: contract or grant numbers, or the original receipt number for a refund of revenue. Enter the batch name and record number on the supporting document, whether or not it is required to be submitted.

Deliver the following to the Auditor of State's Office for each schedule program disk batch:

Disk, properly labeled with batch name, including the date.
2 Computer Operations forms for Schedule Diskette Non-1099.
2 Voucher Abstract forms.
1 Claim Voucher approved by an authorized agency official.
1 Printout, stapled to the claim voucher.
Provide object two claim vouchers or utility bills in the order shown on the printout.

The voucher abstracts and claim voucher provides the total batch amount and references the attached printout, with the batch name and date. List the fund/object/center information on the forms when possible. Provide other description as needed for agency records. For form completion instructions see step number nine of the program instructions section.

Schedule Name and Disk Label

The schedule name consists of the three digit agency number, followed by a space and up to 26 characters for a descriptive title and the date processed. The schedule name is entered onto diskette labels and all forms delivered to the Auditor. It is input upon data entry and appears as the title of the schedule printout submitted to the Auditor. Examples of schedule names are:

050 DAILY REFUNDS May 23, 1997
080 April utilities 5/17/97
700 grants nongovt 5/17/97.

Program Instructions

Prior to data entry, complete the Auditor of State computer operations form for the schedule diskette non-1099. Calculate the total amount of the batch and the number of payments included. This serves as an input control to ensure that all transactions are accurately entered and are entered into the program only once.

To use the program, do the following:

1. Insert the diskette into the disk drive in which you plan to run the program from.

2. Switch your prompt to that drive. If you put the disk in drive A, type A: and press enter. For drive B, type B: and press enter.

3. Type schedule at your DOS prompt and press enter. Enter the drive which the diskette is inserted in, either A or B. Next, you are asked if you want colors on the screen. Press Y or N.

4. Enter the schedule name, which is the name of the label as in the example above. This label name must also be written on the outside label of the diskette.

5. The next prompt is for the Fund, Object, and Center default. Enter the fund/center for the first payment, as these defaults will be recorded without an override option.

   Note: This will remain the same until you use the H option to change the default fund/object/center. When the H option is used, this will change the fund, object or center for all new payments being entered, not the ones that have already been keyed in.

6. Once these steps are completed, a menu appears with the various options available. Select the A for add, to start entering new payments. Once you select this option, you are prompted to enter each of the required fields: payee name, street address, city, state, zip code, and amount. Use the Auditor's vendor standards, such as last name, first name and capital letters, for the entry. Next, the default object is displayed. To use it for this payment, press the enter key. Otherwise, enter the object to be recorded for this payment. The default object remains for the next payment. The program automatically records the default fund/center.

   When entering each payment record, post the batch name and record number onto the source document. The record numbers for each disk batch begins with number two.

   When all information is complete for the payment, the prompt asks if there are more payments. Select Y to enter the next payment information.

   If the fund/center is different for the next payment, then return to the main menu and use option H to change the default fund/center.

   Note: You do not have to enter all of your transactions at one sitting. You can exit the program, and as long as your data file is on the diskette, it will automatically add to that file when you reload the program.

7. When you have finished entering payments, instead of selecting a Y to add another payment, select N and the options menu is displayed.

   When you have finished entering all payments for this disk batch, use option T to display the total number of invoices and the total amount of the payments. Compare this to the amounts calculated and entered on the operations form prior to data entry. If there is a difference in either the number of payments or the total batch amount, then use the L option to display a list of all payment records. Compare each to the source documents.

   When there are no differences between the calculated number and total amount of payments and the disk records, then print the schedule report by selecting the P option. The report lists all transactions entered, including zero dollar amounts if requested.

8. Create a backup diskette to ensure the data is safe in the event that the diskette submitted is lost or damaged. On the disk label enter "backup of" the batch name, including the date.

9. Once the batch is in balance and reports are printed, complete two voucher abstracts and a claim voucher. Staple the printed report to the claim voucher.

   <u>Voucher Abstract Instructions</u>

   Document Number Section. For the document #, enter HV followed by your agency number. An example is HV050. Once the payments are processed, the Auditor's Office completes the document # with the system ID number and julian date.

   Agency Fill In Section. Complete this section. Enter "see schedule" if numerous fund/object/ centers are included in the batch.

   Payee Section. The payee information should say "Per diskette attached" and the diskette "Label Name," including the date. The amount column should contain the total dollar amount of the diskette. Provide other description or references as needed for agency records.

Claim Voucher Instructions

Top Sections. Complete the top line and the agency number. For the document number, enter HV followed by the agency number. Upon return of the processed batch, complete the document reference with the system ID number and julian date. Enter the date the claim voucher is prepared, then the agency name and the agency number in the spaces provided.

Accounting Section. Enter the date the disk was prepared, and the total batch amount. Provide the fund/object/center if it applies to the entire batch. Across this section enter a reference to the attached printout and disk. Include the complete batch name, including the date. Provide other information as needed for description or agency reference. Complete the gross amount as the total batch amount.

10. Submit the disk batch, including supporting documents, for the authorized agency signature on the claim voucher. All payments require supporting documents or records, even though they may not be required to be submitted to the Auditor of State.

    Deliver the diskette and required paperwork to the Auditor's Office by 1:00 p.m. to receive the warrants the next business day.

    Retain a copy of the claim voucher and a printout for the batch with the supporting documents. Clearly label this batch copy as pending or processed.

Changing Individual Records

Changes can be made to each record on the diskette as needed. To do so, select the C option from the main menu. With the schedule program there are two types of changes you may do. One option is to change just one record and return to the menu, or with the second option you start at the first record and move from one to the other reviewing information and making changes as needed. For change option number one, type a 1 and it asks for the record number. The program displays information for the record number and asks "Is this the correct record (Y/N)?" Enter Y if this is the record to be changed. If it is not the record to be changed, enter N to return to the main menu. If the record is to be changed, a menu is displayed listing the options to change information. When you have no more fields to change for this record, respond with N and the main menu is displayed.

Change option number two is used in the same manner. This change option can be used to review payments that are processed each month, to go from one record to the next entering the current payment amounts.

Mass Changing All Records

The M option from the main menu can be used to change all records on the file to certain defaults that are set currently. The four options available from the mass change menu are to change every record on the file to the current default fund, the default object, the default center and all amounts set to zero. When you select any of the four options on this menu and press enter, all records are automatically updated with the option chosen.

ITEMS RETURNED FOR A PROCESSED HIGH VOLUME DISK BATCH

After the Auditor's Office has processed payments submitted on the Schedule Payment Program disk, the agency receives the documents and reports, as described below. Examples of each report follow.

- Warrants issued are returned with the batch reports and documents. The warrants do not have stubs for payee information. Warrants are issued in the disk record number order, as submitted by the agency.

- The disk is returned, renamed as SCHEDULE.BAK.

- Computer Operations form for the schedule diskette batch, as submitted by the agency and completed by the Auditor's Office.

- One voucher abstract form submitted for the batch is returned. The Auditor's Office has entered the control number and date processed.

- Report ID: HV0250C PC-MSA Batch Total Report
  This report provides the batch total, control number and the batch document reference of the agency number, system identifier number and the julian date. The agency assigned disk name is shown in the report title.

- Report ID: HV0300-SUM Batch Invoice Summary Total Report
  This report provides the total amount to be recorded to each fund/object/center, the number of payments (IH records) and invoice lines (IL records), comprising the total. For the schedule program, the number of payments (IH records) equals the number of object entries (IL records). The total amount of the batch is also calculated and shown with the total number of payments and object entries for the batch (IH and IL records). In order for the batch to be processed, the calculated total amount of the batch must equal the control record amount. The amount out of balance should be zero for a processed batch.

- Report ID: HV0300-ER Batch Invoice Error Report
  The document reference assigned to the batch is shown to the right of the report heading. The body of the report lists the control number and date for the batch and space for error messages to be listed. A processed high volume disk batch will show "END OF REPORT!!! NO ERRORS!!!."

- Warrant Register
  A warrant register is provided on microfiche for each disk batch processed. The register lists warrants in alphabetical order by payee name. The agency can request additional registers to be produced in numeric order of the warrants issued. Registers may also be provided on printouts.

PROCEDURES UPON RETURN OF PROCESSED HV DISK BATCH

Upon receiving the processed warrants, documents and reports for the batch, pull the batch from the agency pending file. Perform the following procedures:

1. Determine that all warrants processed for the batch were received.

   (a) Compare the number of warrants received to the number listed as "total invoices to process" on the agency printout retained for the batch.

(b) Also, compare the number of warrants received to the number of IH and IL records listed on the Batch Invoice Summary Total Report, Report ID: HV0300-SUM.

2. Prior to mailing or delivering warrants, verify the warrants were issued accurately, and only for properly documented transactions. Compare the warrants to the agency supporting documents for the batch. Determine warrants were issued for the correct amount and to the correct payee name and address.

3. Document the warrant numbers received for the batch. List the beginning and ending warrant numbers received on the agency printout for the batch.

4. Record the official batch document on all source documents. The official document reference has the format HV###IIDDD, where:

   HV - indicates High Volume,
   ### - is the agency number,
   II - is the system identification number assigned,
   DDD - is the julian date.

   The components of the document reference are listed on the PC-MSA Batch Total Report, Report ID: HV0250C. Post the document reference from this report to the: voucher abstract, claim voucher, batch printout, supporting documents, and other agency records to which the payments are posted.

5. Determine that accounting entries were accurately summarized on the Batch Invoice Summary Total Report, Report ID: HV0300-SUM.

   (a) Compare the total amount listed on the Batch Invoice Summary Total Report to the total listed on the printout as retained by the agency.

   (b) Compare the number of payment records for each fund/object/center per the Batch Invoice Summary Total Report to the agency printout, counting the number of payments for each.

   (c) Later, upon receiving the general ledger activity reports, compare the fund/object/ center entries reported for the batch to the Batch Invoice Summary Total Report.

6. Maintain one complete file for each disk batch processed. Retain the processed forms and printouts issued by the Auditor of State, with the agency documents and batch printout. Whenever possible, retain the supporting documents with the batch. If not, then a file reference must be provided for each supporting document.

   File disk batches by date processed and transaction type: refund of revenue expenditure object two and seven.

PAYMENTS PROCESSED FROM COMPUTER TAPES

Use

An agency may make arrangements with the Auditor's Office to submit payment on computer tape for either of the Auditor of State's warrant processing systems, DBS or High Volume. Payments processed from an agency's computer tape are the expenditure object seven (grants, subsidies, refunds, and awards), which do not require individual payee claim vouchers to be filed. The high volume system may also be used to process refunds of revenue.

The attributes of each processing system are summarized in the chart on the next page. This is followed by a flow chart which illustrates the payment processing systems.

Batch Identification and Control

An agency must make arrangements with the Auditor of State's Office to submit payments on computer tape. The agency identifies each type of tape batch with a two letter code, known as a system ID or batch identifier. The Auditor's Office assigns a control number to each batch ID defined for each agency. The four digit control number begins with an 8 from DBS tape pay entity; with a 9 for high volume; and with a 4 for DBS pay entity code ESDO, which uses local government distribution numbers. The Auditor's system maintains a table of control numbers, which lists the agency number and system ID for each. The table also indicates the warrant information requested by the agency for each type of batch. The agency may receive any, or all, of the following: a tape of warrant information, or warrant registers, on microfiche or printouts, in warrant number order or in alphabetical order by payee name.

All records on the agency tape must have the same batch document reference of the agency number, system identifier and julian date. If not, a fatal error occurs and the tape is not processed. The julian date should be the date the tape was created at the agency. The agency should also supply the control number for the tape batch. A non-fatal error is reported if the control number is incorrect for the agency number and system identifier. The Auditor's Office then applies the control number from their table. If this occurs, an agency should verify that it was a valid batch for the agency and that the batch identifier was correct.

Processing Limit

The DBS system has a processing limit of one batch per control number per run date. On the high volume system, several batches with the same control number can be submitted each day.

SUMMARY OF SYSTEM ATTRIBUTES

	DBS		HV	
1. Uses Auditor's Vendor File	YES		NO	
2. Agency Tape Supplies Payee Name and Address	NO		YES	
3. Agency Tape Supplies Payee Identification Number	YES	(a)	YES	
4. 1099 Tax Code Required	YES	(b)	NO	(c)
5. Warrants Issued With Stubs	YES		NO	
6. Can Record Multiple Object Entries for Each Payment	YES		NO	
7. Warrant Date (d)	Date Batch Submitted		Next Business Day	
8. First Digit of Control Number	'8'		'9'	
9. Processing Limit: One Batch Per Control Number Per Run Date	YES		NO	
10. Warrants Listed on Warrant Distribution Report	YES		NO	
11. Warrant Registers Produced	Upon Request		Upon Request	
12. Warrants are Posted to the Reconciliation File	YES		YES	
13. Transactions Post to the General Ledger on Warrant Date	YES		YES	

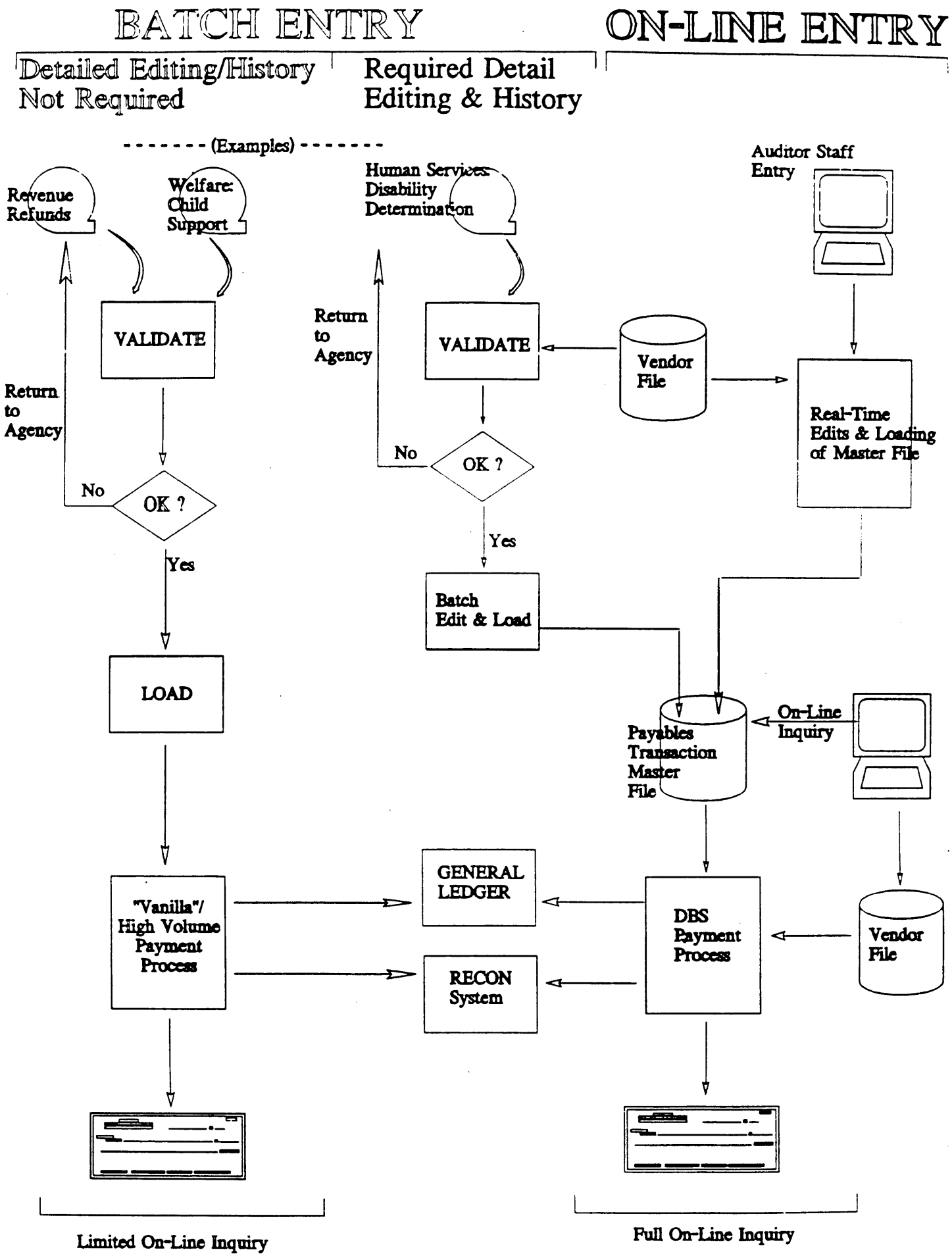
Notes:

(a) Agency must also supply the group or location code as needed.

(b) The DBS tax code can be 'NO' for non-1099 reportable.

(c) High Volume transactions must be non-1099 reportable.

(d) The Agency can specify a warrant date within the following parameters: The Date specified cannot be prior to the next processing date, nor a weekend or holiday date, nor more than fifteen days in the future.


BATCH ENTRY
ON-LINE ENTRY
Detailed Editing/History Not Required
Required Detail Editing & History
(Examples)
Revenue Refunds
Welfare: Child Support
Human Services: Disability Determination
Auditor Staff Entry
VALIDATE
Return to Agency
No
OK ?
Yes
LOAD
VALIDATE
Return to Agency
No
OK ?
Yes
Vendor File
Real-Time Edits & Loading of Master File
Batch Edit & Load
Payables Transaction Master File
On-Line Inquiry
"Vanilla"/ High Volume Payment Process
GENERAL LEDGER
RECON System
DBS Payment Process
Vendor File
Limited On-Line Inquiry
Full On-Line Inquiry

Accounting Entries

An agency's computer tape batch may include payments from various agency fund/centers. High volume system batches are limited to one fund/object/center entry for each payment. The high volume system thus processes one invoice line entry (IL) for each invoice header or payment record (IH). It requires the number of invoice line records to equal the number of invoice header records, #IL = #IH. Each payment processed on the DBS system may have several expense object entries that are recorded to one fund/center. DBS batches can have more invoice line records (IL) than the number of invoice header records (IH). For either system, the total amount of the IL records for a payment must equal the amount of the IH record. Also, the total of all entries must equal the batch total, as provided on the control group record for the tape.

A tape batch may contain entries for various distributional agencies of the same functional agency. The agency number provided for the tape may be either the functional or distributional agency number for the fund/centers.

The agency lists the total fund/object/center entries on the claim voucher for the tape batch. Upon approving the claim voucher, the agency should verify the fund/object/centers. The source of the fund/object/center totals should be a summary produced from the agency computer tape.

Both of the Auditor's batch payment systems compare the fund/centers given on the tape to the Auditor's chart of accounts (TM 700). The agency number provided for the tape document reference must be listed as either the functional or distributional agency number for the fund/center. If the fund/object/center is not on the chart of accounts, or the fund/center is not correct for the agency number, a fatal error occurs. The entire tape batch may be returned to the agency for correction.

If no processing errors occur, the Auditor's system automatically applies accounting rules to record the transactions on the general ledger. The DBS computer tape batches have an accounts payable accounting rule applied (AP). High Volume batches are posted through the budgetary control subsystem, so the rule applied has a prefix of BC. Both processing systems also post the warrant run to the Auditor's reconciliation file.

Warrant Date

The agency may specify the warrant date for a batch submitted on computer tape, within the parameters established by the Auditor of State. The date specified cannot be prior to the next processing date (business day), nor a weekend or holiday date, nor more than fifteen days in the future. An agency may specify a warrant date in order to deliver mandated timely payments, such as those due the first of each month. This allows the agency time to prepare and mail the warrants.

If the warrant date is not specified either on the tape or on the computer operations form, the system date is applied. For DBS batches with a tape pay entity code, the warrants are printed the date the batch is submitted. For high volume batches, the warrant date is the next processing day. DBS batches with the pay entity code ESDO, for local government distribution number, are automatically post dated two days for ACH transfer requirements.

In all cases, the date of the warrants is the same as the general ledger effective date. The expenditure transactions appear on the Agency Available Funds Activity Report on the date printed on the warrant. Reports produced for warrant information, such as Warrant Distribution Reports or warrant registers, list the warrants on the run date (date printed). The Auditor's reconciliation file is posted upon the run date; however, the Treasurer of State rejects warrants presented prior to the date of issue.

Warrant Sequence

The warrants are issued in sequence number order as provided on the agency tape. The sequence number used is the six digit sequence component of the document reference field. This is usually the same as the invoice sequence number for the tape record, which is required to begin at 000001 and increment by 1.

If the agency has elected to use the document reference sequence field to record other information, then note the following restrictions:

1. The invoice number field (document reference) must be unique. The tape batch will be rejected if an invoice number is duplicated.

2. The agency must sort the tape so that the warrants are issued in the record number order as submitted by the agency.

Warrant Verification

The agency must have procedures, whether manual or by computer, to ensure or verify that warrants were issued accurately as to payee name, address and amount. Verify warrants prior to mailing or distributing them. A common procedure is to compare the warrants to an agency report which lists each payee name and amount for the batch. The agency report was printed from the agency computer tape before it was submitted to the Auditor of State. Enter a checkmark on the agency report next to each payee amount verified.

Documents Required

Deliver the following to the Auditor of State's Office for each computer tape batch:

Magnetic Tape or Cartridge with tape number on label.
2 Computer Operations forms for the batch system used.
2 Voucher Abstract forms.
1 Claim Voucher properly completed and approved by an authorized agency official.

Retain a copy of the claim voucher for agency records.

AUDITOR OF STATE COMPUTER OPERATIONS FORM INSTRUCTIONS

Complete the form sections legibly in ink, according to the instructions below. Use the form titled "Account Payable Batch Entry, 1099 Reporting" for a DBS computer tape batch. Use the form titled "Miscellaneous Non 1099" for a high volume computer tape batch. Examples of each of these forms are shown on the next pages. Forms for Department of Revenue and Welfare Mailer high volume batches have the same basic format.

1. At the top of the form for DBS batch, circle the pay entity code for the batch. ESDO applies to local government distributions or DIST numbers, with the first digit of the control number of 4. The TAPE pay entity code is for all other DBS batches, with the first digit of the control number of 8.

2. On the first form line, enter your name as requester, and provide your phone number and the date.

3. Leave the documents and operations lines blank. Auditor of State personnel record the date and time the batch was received and completed.

4. Complete the invoice prefix. This is also referred to as the document or batch reference. Enter the agency number, system identifier letters, the year and julian date. This should match the invoice prefix recorded for each payment record on the agency computer tape.

5. Circle the appropriate tape information and fill in the block size.

6. In the Operations section of the form, enter the number of warrants to be issued for the batch, the tape number, and the total dollar amount of the tape batch. Leave the warrant date blank. If the agency requires a specific date and it has not been entered on the tape, the date may be entered here. The batch will be rejected if the warrant date is not within the Auditor of State's parameters.

7. Enter the names and phone numbers of two agency employees to be contacted by the Auditor's Office as needed.

VOUCHER ABSTRACT INSTRUCTIONS

Document Number Section. Enter the document reference for the batch and the date the voucher abstract is prepared. The document reference is provided by the agency on the computer tape.

The format for a DBS batch is ###IIYYDDD, where:

###	-	Agency Number
II	-	Batch Identifier Letters
YYDDD	-	Year and Julian Date

The format for a high volume batch is HV###IIDDD, where:

HV	-	High Volume
###	-	Agency Number
II	-	Batch Identifier Letters
DDD	-	Julian Date

The julian date is the number for the day of the year, 001 to 365. The agency should enter the julian date on which the computer tape was run by the agency.

Agency Fill In Section. Complete each line of this section. Enter "see attached batch claim" if numerous fund/object/centers are included. Enter the agency name which corresponds to the agency number listed.

Payee Section. The payee information should reference the attached computer tape. Provide the tape number. The amount column should contain the total dollar amount of the batch. Provide other description or references as needed for agency records.

CLAIM VOUCHER INSTRUCTIONS

Vendor Information Section. Enter the document reference for the batch as provided within the agency computer tape. This is the same document reference entered on the voucher abstract.

For the DBS tape batch the format is ###IIYYDDD, where:

###	-	Agency Number
II	-	Batch Identifier Letters
YYDDD	-	Year and Julian Date

The format for a high volume batch is HV###IIDDD, where:

HV	-	High Volume
###	-	Agency Number
II	-	Batch Identifier Letters
DDD	-	Julian Date

Enter the date the claim voucher is prepared in the space provided. Enter the tape number in the vendor name space.

Agency Information Section. Complete the agency name and agency number as shown on the voucher abstract.

Accounting Section. Enter the total amount to be recorded to each fund/object/center. The accounting information is required as it is certified by the authorized agency official. Provide other information as needed for description or agency reference. Enter the total batch amount on the gross amount line. The gross amount must equal the total of the amount column for the fund/object/center entries. On the line labeled "Furnished to" identify the agency, division, department, or location which received or authorized the payments.

Certification. The authorized agency official signs and dates the claim voucher certifying that the claim is correct, valid and a proper charge against the State Agency, Fund, and Center indicated. To be authorized, the signature must have been filed with the Auditor of State. The agency official may authorize use of a signature stamp.

SPECIFIC INSTRUCTION FOR DBS COMPUTER TAPE BATCHES

Synchronize Vendor File

The computer tape submitted by the agency contains only the vendor number for the payee, and not the name and address. Warrants are issued to the name and address as recorded in the Auditor's vendor file.

If there is no match of the vendor number as entered by the agency to a record in the Auditor's vendor file, then the entire batch is rejected and returned to the agency.

The first part of the key to access the Auditor's vendor file is the taxpayer identification number preceded by a zero. This is either a social security number or a federal identification number. The last part of the key to the vendor file is a two character field, which has been referred to as the location code, group number or suffix. The location code is used when a vendor has more than one mailing address. The group number is assigned by the Auditor's Office and communicated via microfiche and online inquiry.

Agencies using the DBS batch processing system must synchronize their vendor files with those of the Auditor's Office in order to process accurately. For each DBS tape batch, agencies should compare their records to the vendor file match layout provided by the Auditor of State. Determine that payee numbers are recorded in the Auditor's vendor file and validate the name and address. Additions and changes to the Auditor of State vendor file require an IRS Form W-9, signed by the payee. Form W-9's should be submitted to the Auditor's Office one business day prior to the computer tape batch.

Remittance Message

Warrants issued from the DBS system have a stub for a remittance advice. A sixty character field is provided for the agency message printed on the warrant stub. The remittance message is also included on the warrant turn around tape. The message should include the reason for payment, reference to supporting agency records such as contract numbers, and the agency, department or program making payment.

1099 Tax Code

The DBS warrant processing system requires a 1099 tax code; however, the code may be "NO" for non-1099 reportable payments. The 1099 codes that have been defined to the system are the only codes that can be entered. The codes are: NO, PA, NC, RE, MH, and LA. See Chapter 5 for more information regarding tax codes.

Vendor File Layout

The following is the 300 byte vendor record layout for the vinq file:

vendor-key-area				
vendor-name-look	1	30	AN	
vendor-id-prefix	31	1	AN	
vendor-id-tin	32	9	AN	
vendor-id-group-suffix	41	2	AN	
filler	43	10	AN	
pay-entity	53	4	AN	
zipcode	57	10	AN	
vendor-name	67	30	AN	
vendor-address1	97	30	AN	
vendor-address2	127	30	AN	
vendor-address3	157	30	AN	
vendor-address4	187	30	AN	
vendor-address5	217	30	AN	
last-maint-date	247	6	N	YYMMDD
last-actvty-date	253	6	N	YYMMDD
default-1099-code	259	2	AN	
W9-indicator	261	1	AN	
taxid-type	262	1	AN	
"E" employer #, "S" ssn #, " " invalid				
filler	263	38	AN	

ITEMS RETURNED FOR A PROCESSED DBS TAPE BATCH

The following items are received by the agency for each DBS computer tape batch processed. Examples of each report follow the section for agency procedures upon return of the processed DBS tape batch.

- Warrants issued with stubs for payee information. Warrants are issued in the sequence number order as provided on the agency tape. A total of sixty characters are available for an agency remittance message.

- Warrant Distribution Report. This printout includes all payments issued for the agency that day, except high volume batches. Warrants are listed in warrant number order, with the payee vendor number, fund/object/center, document reference and warrant amount. Detail of multiple object entries is not provided. The information reported is that of the invoice header record (IH).

- The agency computer tape is returned.

- A Computer Operations form for the batch, as submitted by the agency and completed by the Auditor's Office.

- One of the voucher abstracts for the batch is returned. The Auditor's Office has entered the control number and date processed.

- Report ID: DB0300-SUM Batch Invoice Summary Total Report
  This report provides the total amount to be recorded to each fund/object/center, the number of payments (IH records) and invoice lines of object detail (IL records), comprising the total. The batch total is then calculated and shown with the total number of payments for the batch (IH records) and the total number of object entries (IL records). The report shows that the payment records are in balance with the total object entries. The tape number and document reference are shown at the top of the report.

- Report ID: DB0300-ER Batch Invoice Error Report
  The document reference assigned to the batch is shown to the right of the report heading. The body of the report contains the agency number, control date and control number. A processed batch may have non-fatal error messages reported. Review these transactions and discuss with the Auditor's Office as needed.

- Warrant Register
  The agency may receive warrant registers, if ordered for the batch control number. Information for each warrant issued is given in either warrant number order or in alphabetical order by payee name. Warrant registers may be produced on microfiche or printouts.

- Computer Tape With Warrant Information.
  The agency may receive a turn around tape with warrant information, if ordered for the batch control number. The tape is produced in invoice number (document reference) sequence. Information provided on the tape is shown with the record layout below..

DBS BATCH WARRANT TURN AROUND TAPE

If an agency sends the Auditor's Office a DBS vendor tape and needs information concerning the warrant number assigned to a payment, then a tape can be created, and sent back to the agency with the following record layout:

invoice number	1	16	AN			
agency number				1	3	N
system id				4	2	AN
julian date				6	5	N
sequence number				11	6	N
vendor id	17	12	AN			
vendor prefix '0'				17	1	N
taxpayer id				18	9	N
vendor group suffix				27	2	AN
amount issued	29	15	N	9(13)V99		
warrant number	44	8	N			
date issued	52	6	N			
remittance message	58	60	AN			
vendor name	118	30	AN			
filler	148	53	AN			

PROCEDURES UPON RETURN OF PROCESSED DBS TAPE BATCH

Upon receiving the processed warrants, documents and reports for the batch, pull the claim voucher for the batch from the agency pending file. Perform the following procedures:

1. Determine that all warrants processed for the batch were received.

   (a) Compare the number of warrants received to the grand total number of IH records listed on the Batch Invoice Summary Total Report, Report ID: DB0300-SUM.

   (b) Also, compare the number of warrants received to the number listed on the Computer Operations form, or to the agency report that was the source of the entry.

2. Prior to mailing or delivering warrants, the agency must verify the warrants were issued accurately. Determine warrants were issued for the correct amount and to the correct payee name and address. The agency may use a manual procedure of comparing the warrants to an agency report, or may verify the computer match of the agency records and the returned warrant tape.

3. Determine that the total amount of the processed batch equals the amount authorized by the agency. Compare the total amount listed on the Batch Invoice Summary Total Report (Report ID: DB0300-SUM) to the total listed on the claim voucher and/or an agency printout for the batch.

4. Determine that accounting entries are accurately summarized on the Batch Invoice Summary Total Report (DB0300-SUM). Compare each fund/object/center entry listed on the Batch Invoice Summary Total Report to the claim voucher and/or the agency printout used as the source of the claim voucher entries.

5. Review the Batch Invoice Error Report, Report ID: DB0300-ER. If any non-fatal errors are indicated, review the transactions or discuss with the Auditor's Office.

6. Upon receiving the general ledger Agency Available Funds Activity Report for each center, compare the fund/object/center entries for the batch to the Batch Invoice Summary Total Report.

7. File computer tape batches by the date processed. Retain the processed forms and printouts issued by the Auditor of State, with the agency copy of the claim voucher. Agency printouts for the batch should contain the batch document reference, and must be retained in accordance with the agency retention schedule.

PAY ENTITY CODE ESDO BATCHES

The Auditor of State established this payment method for distributions to local units of government. As with other computer tape batches, the Auditor's Office authorizes and arranges its use. Each computer tape batch for ESDO is a particular type of distribution, identified by the two letter system ID. The agency number and system identifier and recorded and assigned a control number which begins with 4.

Pay entity code ESDO batches are processed in the DBS system. The Auditor's vendor file has distribution numbers for each local government unit. The vendor file record supplies and payee name and address to be printed on the warrant. For distribution numbers, the vendor file record may direct that an automated clearing house payment (ACH) be issued. All vendor numbers supplied on an ESDO batch must have "DIST" as the first four characters of the vendor number.

Distribution numbers for payments to local government units are shown as DIST##XXXX. DIST indicates a distribution, followed by the county number, ##, and the unit number assigned by the Auditor of State, XXXX. County numbers, 1 to 92, are associated to an alphabetical list of Indiana counties. Counties have the unit number of 0000. Other government units, such as cities, towns, schools, and townships are assigned their own unit number. All units are thus identified by their county location.

The distribution number record also has a two digit alphanumeric field for a group code or suffix. A different payee name, address, or payment code can be recorded for each suffix record. The suffix identifies specific types of distributions.

For ESDO computer tape batches, the agency supplies the DIST number and the suffix is applied by the Auditor's system. The DIST suffix applied is the two letter system identifier for the batch. For other DBS batches, the agency must supply the exact vendor number including the suffix. When processing an ESDO payment, the Auditor of State's system searches the vendor file for a distribution number with the suffix that matches the system ID for the batch. When the distribution number has those letters as the suffix, the payment is made according to that record. If the letters do not match to a suffix on file for the DIST number, then the payment issued to the DIST number blank suffix record. The bank payment code is automatically changed from "PAY" to "ACH," as applicable. This method allows local governments to specify particular bank accounts for ACH transfer, or different addresses for each type of state distribution.

Due to ACH transfer requirements, the pay entity code ESDO payments are post dated at least two days after the run date. All payments on a batch have the same date applied, whether warrants or ACH payment.

Agencies authorized to submit ESDO batches should consistently use this payment method for the types of distributions specified.

SPECIFIC INSTRUCTIONS FOR HIGH VOLUME TAPE BATCHES

Payee Name

There are six lines, of thirty characters each, provided for the payee name and address to be printed on the warrant. The Auditor's office format considers the first line to be the payee name. Whatever is input on this line is provided as the payee name on the turn around tape with warrant information. The high volume warrants have no remittance advice, so some agencies use this field to print additional information on the warrant. It may also be information desired to be recorded with warrant data as provided on the returned tape.

The exact thirty character field for the payee name (the first line of warrant information) is the information returned on the tape with warrant numbers issued. For other reports, however, the system extracts the line number the agency has identified as containing the actual name field.

An agency change in the placement of the payee name on the warrant must be communicated to the Auditor of State's Office. The line number which contains the payee name is recorded for each batch control number in order to properly post warrant information onto registers and the reconciliation file.

Vendor Standards

Use the Auditor of State vendor standards to record the payee name and address on the agency computer tape. The payee name should be provided as last name, first name. Warrant Registers are sorted in alphabetical order by the first word presented, which should be the last names. The vendor standards are provided as an appendix to this manual.

Payee Identification Number

An identification number for the payee is required to be supplied for payments processed on high volume tape batches. Provide the payee's social security number or employer identification number, preceded by a zero. This is the same format as the DBS batch. High volume batches do not require the payee identification number to be recorded in the Auditor's vendor file. IRS Form W-9 is not required for these payments. The payee identification number is entered for agency forms or records.

The print format of the warrant is listed below. Address fields set to spaces will not print.

VENDOR NAME
ADDRESS 1
ADDRESS 2
OPTIONAL ADDRESS 1
OPTIONAL ADDRESS 2
ADDRESS 3 POSTAL CODE

ITEMS RETURNED FOR A PROCESSED HIGH VOLUME TAPE BATCH

The following items are received by the agency for each high volume computer tape batch processed. Examples of each report follow the section for agency procedures upon return of the processed High Volume tape batch.

- Warrants issued are returned with the batch reports and documents. The warrants do not have stubs for payee information. Warrants are issued in the tape sequence number order, as submitted by the agency.

- The agency computer tape is returned.

- A Computer Operations form for the batch, as submitted by the agency and completed by the Auditor's Office.

- One voucher abstract form submitted for the batch is returned. The Auditor's Office has entered the control number and date processed.

- Report ID: HV0300-SUM Batch Invoice Summary Total Report
  This report provides the total amount to be recorded to each fund/object/center, the number of payments (IH records) and invoice lines (IL records), comprising the total. On the high volume system, the number of payments (IH records) equals the number of object entries (IL records).

  Following the accounting entries, the total amount calculated for the batch is presented and compared to the control record amount. In order for the batch to be processed, the calculated batch total amount must equal the control record amount, with an amount out of balance of zero. The total number of payments and object entries for the batch is also given as IH and IL records, respectively.

- Report ID: HV0300-ER Batch Invoice Error Report
  The document reference assigned to the batch is shown to the right of the report heading. The body of the report lists the control number and date for the batch and space for error messages to be listed. A processed high volume batch may have non-fatal error messages reported. Review these transactions and discuss with the Auditor's Office as needed.

- Warrant Register
  The agency may receive warrant registers, if ordered for the batch control number. Information for each warrant issued is given in either warrant number order or in alphabetical order by payee name. Warrant registers may be produced on microfiche or printouts.

- Computer Tape With Warrant Information.
  The agency may receive a turn around tape with warrant information, if ordered for the batch control number. The tape is produced in invoice number (document reference) sequence. Information provided on the tape is shown with the record layout on the next page.

HIGH VOLUME BATCH WARRANT TURN AROUND TAPE

If an agency sends the Auditor's Office a high volume tape and needs information concerning the warrant number assigned to a payment, a tape can be created and sent back to the agency with the following record layout:

invoice number	1	16	AN			
agency number				1	3	N
system id				4	2	AN
julian date				6	5	N
sequence number				11	6	N
vendor id	17	12	AN			
vendor prefix '0'				17	1	N
taxpayer id				18	9	N
vendor group suffix				27	2	AN
amount issued	29	15	N	9(13)V99		
warrant number	44	8	N			
date issued	52	6	N	'YYMMDD'		
vendor name (see below)	58	30	AN			
filler	88	113	AN			

The vendor name supplied on the returned tape is the exact thirty characters input on the vendor name field. The vendor name field is the first of six lines available for the payee name and address printed on the warrant. Some agencies use this field to print additional information on the warrant, or to record the information with the warrant number, as supplied on this tape.

The return tape will be sent back in invoice number sequence along with the issue tape received from the agency.

Note: For control 9 batches, the vendor name supplied in the returned tape is the exact 30 characters input on the vendor name field.

PROCEDURES UPON RETURN OF PROCESSED HIGH VOLUME TAPE BATCH

Upon receiving the processed warrants, documents and reports for the batch, pull the claim voucher for the batch from the agency pending file. Perform the following procedures:

1. Determine that all warrants processed for the batch were received.

   (a) Compare the number of warrants received to the grand total number of IH records listed on the Batch Invoice Summary Total Report, Report ID: HV0300-SUM.

   (b) Also, compare the number of warrants received to the number listed on the Computer Operations form, or to the agency report that was the source of the entry.

   (c) Document the warrant numbers received for the batch. List the beginning and ending warrant numbers received on the Batch Invoice Summary Total Report.

2. Prior to mailing or delivering warrants, the agency must verify the warrants were issued accurately. Determine warrants were issued for the correct amount and to the correct payee name and address. The agency may use a manual procedure of comparing the warrants to an agency report, or may verify the computer match of the agency records and the returned warrant tape.

3. Determine that the total amount of the processed batch equals the amount authorized by the agency. Compare the total amount listed on the Batch Invoice Summary Total Report (Report ID: HV0300-SUM) to the total listed on the claim voucher and/or an agency printout for the batch.

4. Determine that accounting entries are accurately summarized on the Batch Invoice Summary Total Report (HV0300-SUM). Compare each fund/object/center entry listed on the Batch Invoice Summary Total Report to the claim voucher and/or the agency printout used as the source of the claim voucher entries.

5. Review the Batch Invoice Error Report, Report ID: HV0300-ER. If any non-fatal errors are indicated, review the transactions or discuss with the Auditor's Office.

6. Upon receiving the general ledger Agency Available Funds Activity Report for each center, compare the fund/object/center entries for the batch to the Batch Invoice Summary Total Report.

7. File computer tape batches by the date processed. Retain the processed forms and printouts issued by the Auditor of State, with the agency copy of the claim voucher. Agency printouts for the batch should contain the batch document reference, and must be retained in accordance with the agency retention schedule.

BATCH INVOICE ERROR LIST

On the next page is a listing of most error messages which may appear on the Batch Invoice Error Report. The errors will end processing of the batch, unless specified as not fatal. The high volume column has a Yes or No to indicate if the message applies to the high volume system. Messages unique to the high volume system are also listed in that column.

Legend of abbreviations on the error list:

CG - Control Group Record. There is one control group record on each tape batch.

IH - Invoice Header Record. One per payment.

IL - Invoice Line Record. One per fund/object/center entry.

TM700 - Auditor of State Chart of Accounts.

BATCH INVOICE ERROR LIST

DBS	HIGH VOLUME
AGENCY SYSID NOT VALID	YES
CG CONTROL# DOES NOT MATCH TABLE - NOT FATAL	NO
CNTL GROUP TOTAL AMOUNT DOES NOT BALANCE	YES
CG PAY ENTITY INVALID FOR DBS BATCH	CG BATCH PROCESSING INVALID ID FOR HIGH VOLUME SYSTEM
TOT AMT OF IL RECORDS DO NOT = IH RECORD	YES
	NUMBER OF INV HEADERS NOT = NUMBER OF INV LINES
TOTAL INVOICE AMTS NOT EQUAL CONTROL GROUP TOTAL AMOUNT	YES
CNTL GRP TOTALS NOT NUMERIC. INVALID BATCH AMT. PROCESSING ABORTED	
INVOICE HEADER SEQUENCE NUMBER IS NOT IN SEQUENCE	YES
INVALID RECORD TYPE. THIS IS NOT A IH RECORD	YES
NO INVOICE NUMBER PRESENT. INVALID INVOICE RECORD	YES
INVOICE PREFIX MUST BE SAME ON EVERY INVOICE	YES
INVOICE NUMBER IS DUPLICATED	YES
IH-GROSS-AMOUNT IS NOT NUMERIC	YES
IH-GROSS-AMOUNT IS ZEROS OR NOT NUMERIC	YES
IH-1099-TAX-CODE IS INVALID FOR PAY ENTITY - LAND	NO
IH-1099-TAX CODE IS NOT VALID	NO
IH-EXPENSE-FUND IS NOT NUMERIC	YES
IH-EXPENSE-OBJECT IS NOT NUMERIC	YES
IH-EXPENSE-CENTER IS NOT NUMERIC	YES
NOT FATAL - NEITHER REMIT MSG/REMIT CODE SENT	NO
NOT-FATAL - REMIT MSG & REMIT CODE BOTH SENT	NO
NOT FATAL - ACH VENDOR INACTIVE ON FILE	NO
VENDOR INACTIVE ON FILE	NO
VENDOR PAYABLE RECORD NOT ON FILE - AUDITOR MUST SETUP BEFORE PROCESSING	NO
VENDOR REMIT-TO-BANK RECORD NOT ON FILE - TREASURER MUST SETUP - NOT FATAL	NO
INVALID GENERAL LEDGER INFORMATION	YES
VENDOR KEY ON IL DOES NOT MATCH IH VENDOR KEY	YES
IL INVOICE NUMBER DOES NOT MATCH IH INVOICE #	YES
IL-EXPENSE-FUND DOES NOT MATCH IH-FUND	YES
IL-EXPENSE-CENTER DOES NOT MATCH IH-CENTER	YES
	IL-EXPENSE-OBJECT DOES NOT MATCH IH-OBJECT
INVOICE LINE, LINE NUMBER IS NOT IN SEQUENCE	YES
IL-EXPENSE-AMOUNT IS ZEROS OR NON NUMERIC	YES
DOLLAR AMOUNT GREATER THAN MAX AMOUNT	YES
TM700 CENTER DESCRIPTION MISSING* USE SCREEN 288	YES
AGENCY NUMBER NOT SAME AS TM700** USE SCREEN 288	YES
CNTL GRP PREFIX NOT = 8. CONTROL GROUP ERROR	NO
IH-VENDOR-PREFIX IS NOT EQUAL ZERO	YES
CNTL GRP PREFIX NOT = 4. CONTROL GROUP ERROR	NO
ESDO PAY ENTITY BUT NOT DIST VENDOR	NO
CNTL GRP PAY ENTITY NOT VALID FOR DBS BATCH PROCESSING - PROCESSING ABORTED	NO
CNTL GRP NBR NOT NUMERIC. CONTROL GROUP ERROR PROCESSING ABORTED	YES

RECONCILIATION TURN AROUND TABLE

The Auditor's Office will supply a reconciliation turn around tape to agencies upon request. A reconciliation turn around tape is provided at the beginning of each month with all warrants that cleared in the previous month. The tape has the following record layout:

warrant number	1	8	N	
amount issued	9	15	N	9(13)V99
date issued	24	6	N	MMDDYY
amount cleared	30	15	N	9(13)V99
date cleared	45	6	N	MMDDYY
paying entity	51	4	AN	
expense fund	55	4	N	
expense center	59	6	N	
name	65	30	AN	
clearing bank	95	2	N	values are as follows:

"00" cancel in AP/PS
"01" BANK ONE
"02" NBD
"09" National City Bank
"50" Batch Replacement/Rewrite for Revenue
"51" Online Replacement/Rewrite
"52" ACH Clears
"53" AP Zero Dollar Invoice Clears
"54" Batch Replacement/Rewrite for Other Than Revenue
"55" Returned Warrants for purposes not intended (future)
"99" Warrants purged - more than 2 years old - sent to Attorney General's Office

filler	97	24	A