

# Gateway Annual Report File Upload Specifications

## Introduction

The purpose of this document is to provide local governmental units, vendors and system administrators with information they need to create upload files for the new web-based Gateway Annual Report. The Gateway Annual Report will be implemented January 2012 for the 2011 reporting period.

The upload specifications include this document, the UploadFileLayouts.xlsx spreadsheet which contains the file layouts, and the CodeTables.xlsx spreadsheet that contains various code tables. All information regarding the upload process should be reviewed before creating or modifying systems to create upload files.

This document contains the following sections:

- Overview of the File Upload Process
- Notes Regarding the Upload Files
- Upload File Edits

The file upload specifications also incorporates the following documents:

- A Code Table spreadsheet
- A File Layout spreadsheet

## Overview of the File Upload Process

The web-based Annual Report allows users to manually enter Annual Report data. If the unit already has data in an electronic format that allows for export, they will be able to save time by uploading some of the required data directly to the web. The file upload process includes: funds, beginning balances, receipts, and disbursements. Here are the steps involved with uploading the data files:

- a. A user at the local unit will log in to the Gateway Annual Report website.
- b. On the introduction screen, the user will be asked several questions about their unit, including if they have any Enterprises and whether they have files to upload.
- c. If the user indicates that the unit has Enterprises, the user will be presented with a screen to identify their Enterprises, such as Water Utility, Wastewater Utility, etc.
- d. An Enterprise Number will be used in the upload file. This number is assigned by the unit/vendor to group together the funds associated with each enterprise that the unit operates. The Enterprise Number should be unique for each enterprise operated by the unit. **The units and their vendors should cooperate to make sure that both the vendor and unit staff are aware which Enterprise Number is associated with each Enterprise.** Use Enterprise number 00 for all other funds. See Note 4.
- e. The first screen of the file upload process requires the user to upload 4 to 5 files depending on the unit type. The default location of the files will be in the AnnualReportUpload directory in the current user's MyDocuments. The upload process will allow the user to navigate to another location, if necessary. The files include beginning balances (begbal.txt), receipts (receipts.txt), disbursements (disburse.txt), and contact information (contact.txt). Townships will have an additional file for township vendor disbursements (twpdisburse.txt). Counties and Cities/Towns that departmentalize may have an additional file for unit defined departments (dept.txt). These files must have these specific names and follow the format specifications in the UploadFileLayouts.xlsx spreadsheet. See also the Upload Notes and Upload Edits sections of this document. All files must be loaded to continue to the next step in the process.

- f. In the next step the files are loaded into a working database. Several edit checks are made on the files to make sure they meet specifications. These edit checks include, but are not limited to:
- File format
  - Unique record check
  - Correct standard fund codes
  - Corresponding fund record in Beginning Balance file for each unique fund field in the Receipts and Disbursement files
  - Legitimate receipt and disbursement codes based on unit and fund
- The result of these checks will be detailed in an error report for the Unit. A copy of the error report will also be e-mailed to the Unit's Vendor. A failed edit check will result in all files being rejected and no data being incorporated into the Annual Report. The edit checks are described in more detail in the Upload Edits section of this document. We expect the Unit and Vendor to work together to resolve errors in the upload files.
- g. Once the data passes all the edit checks, it will be incorporated into the Annual Report system and the user will get a message that the upload has been successfully completed.
- h. If the uploaded files have Beginning Balance records for enterprises, the user will be directed to a screen where the user can link each Enterprise Number in the Beginning Balance file to the specific Enterprises defined prior to the upload.
- i. If there are additional Enterprise Numbers in the Beginning Balance file that have not been linked to a defined enterprise, the user will have to define additional Enterprises. Every Enterprise Number must be associated with a defined enterprise. See also Note 4

Once the data has been incorporated into the Annual Report system, the system will treat the data as if it were entered directly through the web interface. If there is a need to adjust fund, balance, receipt, or disbursement data, the user will have one of two options. The user can either edit the data through the web interface, or the user can upload a new set of files. If a user chooses to upload new files, they will have to upload all required files and repeat the Enterprise link process. All existing fund, balance, receipt, and disbursement data will be overwritten by the new upload. **This means financial data added to the system by prior uploads and/or manual data entry will be deleted.**

## Notes Regarding the Upload Files

### Note 1 - Investments Funds

Some units use "Investments Funds" to account for investments. These are really subsidiary or memo accounts that are used to account for investments rather than traditional funds that account for the cash balances and transactions. Please do not include data in the upload files for any "Investments Funds" the unit may have. For example a unit could have the following two funds:

- Fund Number 1234, titled Sample Fund which accounts for the cash.
- Fund Number 1235, titled Sample Fund Investments which accounts for the investments purchased by Fund Number 1234.

In this scenario the upload files would be structured as follows:

- In the Beginning Balance file include a record for Fund 1234 with the Beginning Cash Balance and the Beginning Investment Balance for Sample Fund. Do not include a record for Fund 1235.
- In the Disbursements file include a record for Fund 1234 showing the total amount of investments purchased by Sample Fund. Do not include any disbursement records for Fund 1235.
- In the Receipts file include records for Fund 1234 showing the total amount of investments sold and the total amount of investment earnings for Sample Fund. Do not include any receipt records for Fund 1235.

The Annual Report will then calculate the Ending Cash and Investment Balances for Sample Fund.

Investments can be also be made from "Total Monies on Deposit" rather than from specific funds. Please do not include any data regarding investments made from Total Monies on Deposit in the upload files.

### Note 2 - Fund Numbers

- The Fund Type portion of the fund number is no longer applicable but we will still use the existing 5 digits in the fund number.
- All fund numbers will have a 1 digit prefix (Standard Fund Flag) for a total field length of 6. The prefix will be assigned as follows.
  - For records with Funds that match SBoA's New 2011 Standard Fund List the Standard Fund Flag will be set to 1.
  - For records with Funds that do not match the New 2011 Standard Fund List, the Standard Fund Flag will be set to 9.
- Build the Fund Number as follows:
  - Please use funds from the New 2011 Standard Fund List as much as possible so you can use the Standard Fund Number. The Standard Fund Number is the full 6 digits with the Standard Fund Flag set to 1. Please review the Standard Fund names to match up similar funds to the unit's fund names. Some examples include:
    - If the unit's fund name is MVH Fund use the Standard Fund Number for Motor Vehicle Highway Fund.
    - If the unit's fund name is Excess Levy Fund use the Standard Fund Number for the Levy Excess Fund
    - If the unit's fund name is Buggy Plate Fund or Slow Moving Vehicle Fund use the Standard Fund Number for Buggy License Fund
    - If the unit's fund name is Belterra Fund (this is an actual casino name) use the Standard Fund Number for the Casino/Riverboat Fund.
  - If the unit's fund cannot be matched to anything in the New 2011 Standard Fund List, you can but don't need to, use the same Fund Number that was used last year. Prefix the prior year's fund number with a 9.
  - If the fund is new for 2011 and NOT in the Standard Fund List, then you may use any 5 digit number that you wish and prefix it with a 9. You can also use the Unit's own Fund number to build the fund number for the Annual Report. Just make sure it's 6 digits long with the first digit of 9.

- The resulting Fund Number should be unique.  
The resulting Fund Number must be unique except for the following exception. There are three standard funds that should only be used by enterprises such as utilities. These three funds can be used by more than one Enterprise, but not more than once for a particular enterprise. These funds are Enterprise Operating, Enterprise Customer Deposit and Enterprise Depreciation and Improvement. For example, the Water and Wastewater Utilities for a city can both use the fund Enterprise Operating from the standard fund list. But each utility can only have one Enterprise Operating fund. The Enterprise Number is used to determine which enterprise the fund is related to. The combination of the Enterprise Number and the Fund Number must be unique within that unit's upload files. Also see Note 4 regarding Enterprises.

**Note 3 - Dollar Amount Format**

- Do not include commas or dollar signs
- Include decimal points
- Include cents even if zeros
- Right justify and line up on the decimal point
- Left fill with zero
- If the amount is negative, place a minus sign in the left most column. **Please note that the only field in which negative amounts are acceptable is the Beginning Cash Balance for a Fund.**
- Some examples follow:

Column Numbers													
<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>	<u>9</u>	<u>10</u>	<u>11</u>	<u>12</u>	<u>13</u>	<u>14</u>
0	0	0	0	9	9	9	9	9	9	9	.	9	9
-	0	0	0	9	9	9	9	9	9	9	.	9	9
0	0	0	0	0	0	0	0	5	5	5	.	0	0
0	0	0	0	0	0	0	0	0	0	0	.	0	1
-	0	0	0	0	0	0	0	0	0	0	.	0	1

**Note 4 - Enterprise Numbers**

Governmental units often provide services that are operated like a business and charge fees to external users for goods or services rather than receiving tax dollars. These activities are called enterprises. The most common enterprises are utilities:

- Water
- Waste Water
- Storm Water
- Gas
- Electric

Other types of operations or activities that could be defined as enterprises include but are not limited to:

- Public Transit
- Convention Centers
- Parking Garages
- Trash Pickup
- Airports

The Enterprise Number is assigned by the unit/vendor and is used to group together the funds associated with each enterprise that the unit operates. The Enterprise Number should be unique for each enterprise operated by the unit. There is nothing in the Vendor Upload files to specifically link the Enterprise Number to a specific enterprise. The number is just to identify all funds that are related to the same enterprise.

The Unit will manually enter information regarding the enterprises it operates before the upload occurs. After the upload the user will associate the Enterprise Numbers used in the upload file with each specific enterprise, for example:

- Sample City will use the Enterprise screen to indicate to the system that it operates a Water Utility and a Waste Water Utility.
- The upload file could use 01 as the Enterprise Number for all funds associated with the Water Utility and Enterprise Number 02 for all funds associated with the Waste Water Utility.
- After the upload completes, the user will be directed to another screen where they will link Enterprise Number 01 to the Water Utility and Enterprise Number 02 to the Waste Water Utility.
- That screen will display the first few records in the upload file for each enterprise to assist the user in identifying the enterprise.
- If the upload file contains records with an Enterprise Number 03 the user will need to add another enterprise. There will be an “Add Enterprise” button on the screen so the unit can define and link additional enterprises.

The units and their vendors should cooperate to make sure that they both understand which Enterprise Number is related to which Enterprise.

In the past, we have seen the unit define their enterprise as “Sample City Utilities” even though they operate two or more utilities. This may be due to both utilities using a common bill and being operated by the same staff from the same office. Please separate each individual enterprise with unique Enterprise Numbers.

Use an Enterprise Number of 00 for Funds that are NOT associated with any Enterprise.

**Note 5 – Unit’s Account Number/Name in the Receipts File**

The Receipts files contain data fields for the Unit’s Account Number and Account Name. These data fields are included only to provide a link from the Annual Report Amount to the Unit’s Accounting system. At this time, data in these fields are required only for the following “Other” Receipt codes below and when the codes are used multiple times in the same fund.

<b>Receipt Code</b>	<b>High Level Classification</b>	<b>Detail Classification</b>
R108	Taxes and Intergovernmental	Other Taxes
R120	Taxes and Intergovernmental	Other Grants and Distributions
R209	Licenses and Permits	Other Licenses and Permits
R423	Charges for Services	Other Charges for Services, Sales, and Fees
R505	Fines, Forfeitures, and Fees	Other Fines and Fees
R913	Other Receipts	Other Receipts

Data in these fields for receipt codes other than listed above will not cause the upload process to fail, but the unit’s Account Numbers and Names will not be incorporated into the system.

For each of the above receipt codes, the file can contain multiple records each with a different Account Number/Name from the unit’s accounting system. Multiple records for these receipt codes within a fund without unique account number/names will cause failure of the upload process.

Multiple records for receipt codes other than those listed above within the same fund will cause failure of the upload process.

### **Note 6 – Departments**

A Department Code is required for all records in the Disbursements file. If the unit does not departmentalize, then use 0000 (No Department) for the Department Code.

We are using DLGF's Department Code table for the Annual Report. However, we are limiting departments to the General Fund and Motor Vehicle Highway Fund for Counties, and the General Fund for Cities/Towns. Use 0000 as the Department Code for all other units and funds, otherwise the upload process will fail.

The Department Names will be obtained from the Department Code Table except for the following specific departments. The Departments file will be used to obtain the Unit's own department name for these departments.

- Department Codes 0013 to 0033 are for Counties only and have a predefined Department name of "\_\_\_\_\_ Twp Assessor". Enter only the Township's name in the Department Name field. Using the Center Township Assessor as an example, put "Center" in the Department Name field. The Annual Report system will then create a department name of Center Twp Assessor.
- Department Codes 9600 to 9699 are "Home Rule Departments". Include the Unit's Department Name in the Department Name field.

If any of the above Department Codes are used in the Disbursements file then an associated record for each used Department Code must be in the Departments file or the upload process will fail. If the Departments file contains records for any other Department Codes, the data will be ignored.

## **Upload File Edits**

These are the edits that will be applied to the Upload Files during the Upload Process. Failure of any edit will abort the process and no data will be posted. The data files will need to be corrected and the process rerun. An error report will be available for the user. An error report will also be e-mailed to the Vendor Contact listed in the Contact Information file. We expect the Unit and Vendor to work together to resolve errors in the upload files.

### **General Edits**

- All files are uploaded. Default location will be the AnnualReportUpload directory in the current user's MyDocuments. However, the user will have the ability to navigate to a different location to upload the files.
  - Required files for all units
    - Contact Information file which is named contact.txt.
    - Beginning Balance file which is named begbal.txt.
    - Receipts file which is named receipts.txt.
    - Disbursements file which is named disburse.txt
  - Additional required file for Townships
    - Township Vendor Disbursements file which is named twpdisburse.txt.
  - Additional file for Counties and Cities/Towns that departmentalize and use certain department codes, see Note 6
    - Departments File which is named dept.txt
- There should be Carriage Return and Line Feed characters at the end of each record
- There shouldn't be an "End of File" character in the files.
- All files have the correct record length
- Numeric fields do not contain non-numeric data
- Amount fields are correctly formatted
- Amount fields do not contain negative numbers. The only exception is the Beginning Cash Balance.
- All records have the correct Unit ID, i.e. the same Unit ID that is processing the upload
- All records have the correct Year, i.e. the same Year of the Annual Report that is processing the upload
- All records have a valid Fund number
  - Standard Fund Flag field has a value of either 1 or 9
  - If the Standard Fund Flag field is a 1, the Fund must be in the Standard Fund table for that Unit Type

### **Contact Information File**

- All fields have data
- Phone numbers are correctly formatted
- E-mail addresses are correctly formatted

### **Beginning Balance File**

- The file contains only one record for each Fund. This is based on the combination of the Enterprise Number and the Fund Number.
- The Beginning Investment Balance amounts are not negative numbers
- Unit's Fund Number and Fund Name fields must contain non-blank data

### **Receipts File**

- All Funds (combination of the Enterprise and Fund numbers) used in the Receipts file must also appear in the Beginning Balance file
- Receipt Codes are valid for the Unit Type
- Receipt amounts are positive numbers
- There can only be one record for each Receipt Code within each Fund, with the exception that multiple records are allowed for the "Other" Receipt Codes. See Note 5 for the list.
  - If there are multiple records for a specific "Other" Receipt Code then the Unit's Account Numbers/Names must be supplied and must be unique for each specific "Other" Receipt Code within each Fund.

### **Disbursements File**

- All Funds (combination of the Enterprise and Fund numbers) used in the Disbursement file must also appear in the Beginning Balance file
- Department Codes are valid for the Unit Type and Fund
- Disbursement amounts are positive numbers
- There can only be one record for each Disbursement Code for each Fund and Dept

### **Township Vendor Disbursements File**

- All Funds (combination of the Enterprise and Fund numbers) used in the Township Vendor Disbursements file must also appear in the Beginning Balance file
- Township Vendor Disbursement Codes are valid
- There can be only one record for each Township Disbursement Code and Vendor Name within each Fund
- Disbursement amounts are positive numbers
- We will not verify that the disbursement totals by Fund in the Township Vendor Disbursements file match the disbursement totals by Fund in the Disbursements file during the upload process. However, there will be such an edit upon submission of the Annual Report.

### **Departments File**

- If any specific Department Codes described in Note 6 are used in the Disbursements file, then this file must be present.
  - For each specific Department Code listed in Note 6 that is used in the Disbursements file, the Departments file must have a corresponding record
  - There can be only one record for each specific Department Code used
- Unit Department Name must contain non-blank data