Volume No. 3 – Automated System Applications	TOPIC NO.	70235
Function No. 70200 —CARS	TOPIC	INPUT BATCHING
	DATE	September 1999

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Overview

Introduction

This topic includes the instructions and procedures for agencies to follow for submitting financial data to the Department of Accounts (DOA).

Submitting Financial Data

The submission of financial data may be accomplished by one of the following methods:

- **Online Input**

  Transactions entered into the Commonwealth Accounting and Reporting System (CARS) online facility.

- **Automated Interface**

  Transactions recorded on magnetic media (see CAPP Topic No. 70210, *CARS Magnetic Media Interface Requirements*).

Input Requirements

The input requirements described in this topic apply to the documents, forms, and other media prescribed by the State Comptroller and prepared by agencies for submission of data to DOA.

Additional requirements for reconciling financial data input by agencies are outlined in CAPP Topic No. 20905, *Reconciliation Requirements*.

Definitions

Batch A group of documents. Only one type of document (i.e., travel reimbursement vouchers) may be included in a batch. The documents are compiled in a package with the total of all transactions in the batch summarized on the batch header.

Batch Header The batch cover sheet which includes agency identification information, authorization and control totals for the documents included in the batch.

Accounting Grid One complete set of codes in the distribution coding section of the applicable document. A single accounting event may be distributed to more than one account and would require that more than one accounting grid be completed.

Batch Type The designation, entered by the agency on the batch header, of the category of transactions which pertain to the documents in the batch (see "Batch Types").

Document Batching

Batch Types The following table describes Batch Types.

Batch Type	Batch Name	Form No.	Form Name	CAPP Topic No.
2	Travel Expenditures	DA-02-041	Travel Expense Reimbursement Voucher	20335
3	Vendor Payments	DA-20-250	Accounting Voucher	20310
4	Interagency Transactions	DA-02-039	Interagency Transactions Voucher	20405
5	DOA Journal Entry	N/A	DOA Transaction Voucher	N/A
6	Agency Transactions	DA-06-152	Agency Transaction Voucher	20410
7	Deposit Certificate/Tickets	Various	Deposit Certificates/Tickets	20205
8	Budget Transactions	N/A	N/A	N/A
9	Payrolls	N/A	N/A	50000
A	Tax Advices	1505520	Tax Advices	N/A
D	Debit Memo	DA-20-250	Accounting Voucher	20310
F	Fixed Asset Accounting Control System	1-4	FAACS Input Forms	70325
O	Agency Operating Expenditure Plans	DA-02-180	Agency Operating Exp. Plan	20110
P	Petty Cash	DA-02-040	Petty Cash Reimbursement Voucher	20330
R	Revenue Refund	DA-02-181	Revenue Refund Voucher	20325
X	Vouchers with Vendor Remittance Coupons	DA-20-250	Accounting Voucher	20310

Responsibilities Generally, each agency must batch the documents listed above in "Batch Types" before submission to DOA for CARS processing. Do not batch requisitions and purchase orders sent to Division of Purchases and Supply, Department of General Services. Agencies must ensure that documents prepared to submit financial data to DOA are

- Prepared completely and accurately as described in the applicable volume and topic of this manual,
- Reviewed and approved by authorized agency officials, and
- Batched and submitted according to instructions in this section.

Any document or batch received by DOA not meeting applicable requirements will be returned to the submitting agency for correction.

Batch Preparation

Document Review and Approval

After entering the necessary information on a financial document, check it for accuracy and completeness. To indicate a credit transaction to CARS, you must select a crediting transaction code and CARS will generate debit and credit entries based upon the transaction code. (See CAPP Topic No. 60103, *Transaction Codes*.)

The completed document is forwarded to the agency control point for batching by the applicable type.

Batch Assembly

Control Points

An agency may establish one central location for batching all documents or separate control points for batching certain types of documents, depending upon the number and frequency of financial documents prepared. In all cases, an agency may designate no more than one control point for each type of batch that may be submitted to DOA (see "Batch Control and Submission.") This requirement facilitates communication and control of documents and inquiries between each agency and DOA.

Sorting

As financial documents are received at an agency batch control point, sort various documents <u>by type of form</u> without detaching any continuation sheets. Check documents again for accuracy and completeness. Batching personnel should review the documents to ensure that the appropriate form copies, supporting lists, and applicable continuation sheets are in the correct sequence. Give particular attention to attachments to ensure they are collated in the same sequence as the voucher.

Batch Type 7

For DC's, **Batch Type 7**, all copies are retained by the agency. The white copy must be filed by the agency in the event the Treasurer's Office has a discrepancy from the bank. In the event of a discrepancy, the Treasurer's Office will request that you mail the white copy to them.

Batch Preparation, Continued

Batch Assembly (continued)

Batch Type X

Batch Type X is for payments that require a vendor coupon, remittance, or similar document to be returned with the payment. Signed X Batch checks are returned to the agency by the Department of the Treasury to be matched with remittance documents and mailed. Vendors should be encouraged to rely on invoice numbers and other information on the check stub.

Batching

After the batch header is prepared (see below), place the document(s) behind the original (white) header form.

Secure the batch so that no document can be inadvertently removed from the package.

Position the Batch Header so that the red word, "Original," is at the bottom or right side of the package, depending on which type of form is in the batch. Retain the Batch Header (blue) copy for agency document files.

Batch Preparation, Continued

Batch Header Preparation

After a batch is assembled and an adding machine tape is run, a Batch Header is prepared. All information entered on the header must be printed in ink or typewritten.

Batch Preparation, Continued

**How To
Complete a
Batch Header**

Use the following detailed instructions to complete the Batch Header, Form DA-02-176. The item numbers below correspond with the same numbers circled on the sample form.

Number	Item	Information to be Entered
1	Batch Agency	3-digit agency number (see CAPP Topic No. 60104, "Agency and FIPS Codes"). **For Deposit Certificates (DC), the batch agency must be the same as the Deposit agency appearing on the top of the DC form.**
2	Batch Date	Date (MM/DD/YY) of batch. **For Deposit Certificates, the Batch Date must equal the Date of Deposit at the top of the DC.** **NOTE: ALTHOUGH FORM ONLY ALLOWS FOR 2-DIGIT YEAR, PLEASE REMEMBER THAT 4-DIGIT YEAR IS STILL REQUIRED ON-LINE.**
3	Batch Type	Check one block indicating which type of document is included in the batch. Also insert the type in the BT Block. The block checked and BT entered must correspond.
4	Batch No.	The 3-digit batch number assigned by the agency to the batch of accounting transactions. **Note: The combination of the above four items is referred to as Batch ID (BID) and each BID must be unique.**
5	Batch Count	Total number of accounting grids entered in the distribution coding section of the documents.
6	Batch Amount	Total of all accounting grids. Do not include the "Amount Certified for Payment: on the vouchers or the "Total" amount located on the bottom of the deposit certificate. Also, since this is an absolute total or "hash" total, any grid amount that is a credit must be added and not subtracted.
7	Agency List Number	5-digit control number assigned by the agency to uniquely identify each batch. (Optional)

Batch Preparation, Continued

How To Complete a Batch Header (continued)

Number	Item	Information to be Entered
8	Edit Option	The 1-character edit option may be left blank as it is always "B."
9	Additional Required Information to Identify Certain Submissions	Where applicable, include the following at the center of the top of the form above the words "Batch Header" using large capital letters. **BC/BS** If the batch (Type 4) contains Blue Cross/Blue Shield or other health care IATs. **Special Handling** Special Bank Codes are assigned by the Department of Treasury for agencies that have unique bank accounts. Mark the batch header "Special Handling" with the assigned unique bank account code using red ink. All "Special Handling" requests must be in writing from the Agency Head or designee, stating the date check needed and reason for "Special Handling."
10	Bank Code	Four-digit bank code identifying the bank from which payments are made. Leave blank, except for "Special Handling" batches. See instructions above.
11	Fiscal Month	Required 2-digit fiscal month to which the accounting transactions are to post (e.g., July is fiscal month 01).
12	Check One	Place a check next to the appropriate CARS input media used for this batch of data.
13	Tape Identification No. of Tape Records No. of Pages in Computer Listing	For submission of data on magnetic media. See CAPP Topic No. 70210, *CARS Magnetic Media Interface Requirements*.
14	Agency Name	Name of the submitting agency.
15	Approved By	Signature of the individual approving the batch. designated to approve financial documents. For disbursements, this signature must be on the agency's Authorized Signatories Form on file at DOA. See CAPP Topic No. 20310, *Expenditures*.

Batch Preparation, Continued

How To Complete a Batch Header (continued)

Number	Item	Information to be Entered
		Primary responsibility for document accuracy and completeness rests with the approver; therefore, the approver should review the documents for errors before the document is approved.

Batch Control and Submission

If your agency has online data entry capabilities, enter the transactions in CARS. An individual whose signature appears on the agency's Authorized Signatories Form (see CAPP Topic No. 20310, *Expenditures*), must release online transactions into CARS. Transactions entered online by the agency must be released by the agency before DOA can review and approve the transactions.

Before an approved batch is sent to DOA for processing, record the batch header information in the **Agency Batch Control Log**. This log provides a common reference point for all documents batched and submitted. See CAPP Topic No. 20905, *Reconciliation Requirements*, for detailed instructions on preparing the Batch Control Log and other document control requirements. Retain Batch Header's blue copy attached to your copy of input documents and file them in the same order as submitted to DOA. This procedure will assist you to quickly locate documents whenever questions arise.

Establish procedures for use by agency batching personnel to prepare and submit batches. Agency batch submission schedules should preclude holding documents for more than one week.

Questions?

For centralized agencies, DOA's Disbursements Review Section reviews all types of document batches.

Inquiries about preparing or submitting an agency batch:

Supervisor, Disbursements Review
☎   (804) 225-2384
✉   dreview@doa.virginia.gov

Disbursement Review Process

Review Process   The following is an overview of stages in the disbursement review process.

Stage	Description
DOA Screening	• Batch documents and transmittal listings screened by DOA's Disbursements Review and Fixed Assets for complete and proper entries • Documents reviewed for required supporting documentation. • Batch/specific item returned to submitting agency if discrepancy is found. Decision to return document depends on nature of discrepancy. **If the entire batch is unacceptable (e.g., the batch header is incomplete or incorrect), DOA will return all original documents including the batch header. If a document within the batch is incorrect or incomplete, the item will be returned with a photocopy of the adjusted batch header.** • Request for Correction – Adjustment and/or Information (DA-02-055) form sent to submitting agency, in the event of a discrepancy, which identifies the error and the action needed to resolve the problem.
Agency Record	• Documents Request for Correction received from DOA. • Batch located on Transaction/Batch Control Log, noting return of the document(s). • Adjusted batch amount recorded on the (blue) copy batch header for future audit purposes **If the entire batch was returned, indicate this.**

Continued on next page

Disbursement Review Process, Continued

Review Process (continued)

Stage	Description
Agency Correction	• Discrepancy noted on the Request for Correction form corrected. **Responsible correction person will vary depending on the nature of the problem. For instance, if batch certification is required, personnel at the batch control point should be able to supply the missing items. If additional information is needed (i.e., insufficient description of article and/or services), the user must be contacted.** • Corrected documents resubmitted to the Department of Accounts. If entire batch has been returned to the agency and the discrepancy is corrected without an adjustment to the batch header (e.g., batch certification is not complete), the batch may be returned with the same batch header. If a document was removed from a batch and returned, the agency must submit the document in a new batch. DO NOT return a corrected document under the copy of the batch header. • Transaction/Batch total information entered on the agency's control log. • Request for Correction form attached to the batch header/document and resubmitted to DOA.

**Request for
Correction
Form**

OA-02-055 (7-86)

Date _____

COMMONWEALTH OF VIRGINIA

Department of Accounts—Office of the Comptroller

REQUEST FOR CORRRECTION—ADJUSTMENT AND/OR INFORMATION

P.O. Box 1971, Richmond, Virginia 23215

Agency
No. _____

Agency
Batch I.D. _____

Voucher
No. _____

Amount
of Voucher _____

Audited
By _____

Batch
Type _____

BATCH HEADER

☐ 1. NEED NEW BATCH HEADER

☐ 2. BATCH HEADER INCOMPLETE OR INCORRECT

☐ 3. BATCH NOT PROPERLY APPROVED FOR PAYMENT

☐ 4. VOUCHER NOT INITIALED

VOUCHER DATA ELEMENTS

☐ 5. PAYEE NAME AND/OR ADDRESS INCOMPLETE

☐ 6. CURRENT DOCUMENT NUMBER OR REFERENCE DOCUMENT NUMBER OMITTED OR IN ERROR

☐ 7. INSUFFICIENT DESCRIPTION OF ARTICLES AND/OR SERVICES

☐ 8. ITEMIZED STATEMENT REQUIRED

☐ 9. STATE NAME OF HOTEL OR MOTEL

☐ 10. STATE POINTS BETWEEN WHICH TRAVELED

☐ 11. FURNISH JUSTIFICATION FOR WHAT APPEARS TO BE EXCESSIVE LODGING AND/OR MEAL EXPENSE

☐ 12. STATE PURPOSE OF OR REASON FOR TRAVEL

☐ 13. NEED ADDITIONAL INFORMATION

☐ 14. DISCOUNT NOT DEDUCTED OR IN ERROR

☐ 15. VOUCHER NUMBER OMITTED

☐ 16. MUST BE SIGNED BY TRAVELER

☐ 17. REFER TO TRAVEL REGULATIONS PAGE _____ ITEM _____

☐ 18. ATTACH ORIGINAL INVOICES, BILLS, RECEIPTS, ETC.

☐ 19. RECEIPTS DO NOT AGREE WITH VOUCHER

☐ 20. REFER TO CAPP MANUAL SECTION _____ PAGE _____ ITEM _____

☐ 21. TAPE DATA DOES NOT AGREE WITH VOUCHERS

☐ 22. INSUFFICIENT APPROPRIATION, ALLOTMENT, CASH

☐ 23. REFER TO MOVING AND RELOCATION REGULATIONS PAGE _____ ITEM _____

VOUCHER CODING

☐ 24. DISTRIBUTION DOES NOT AGREE WITH CERTIFIED PAYMENT AMOUNT

☐ 25. INCORRECT OR INCOMPLETE CODING

GENERAL

☐ 26. RECAP VOUCHERS

☐ 27. ADDING MACHINE TAPE REQUIRED

☐ 28. NUMBER OF CHECKS NOT COUNTED OR COUNTED IN ERROR FOR MULTIPLE PAYEES

☐ 29. REASON FOR DELAY IN CERTIFYING VOUCHER

☐ 30. NOT PROPER CHARGE AGAINST STATE FUNDS

☐ 31. RETURNED AT YOUR REQUEST _____

☐ 32. NEED JUSTIFICATION

☐ 33. IMPROPERLY BATCHED

☐ 34. INSUFFICIENT ENCUMBRANCE/PURCHASE ORDER

☐ 35. FOR YOUR INFORMATION ONLY

REMARKS: _____

_____

_____

_____

_____

NOTE TO THE FISCAL OFFICER:
THE ATTACHED IS RETURNED FOR THE REASON(S) INDICATED ABOVE.
PLEASE MAKE THE NECESSARY CORRECTIONS, ADJUSTMENTS AND/OR REQUESTED. RETURN THIS FORM WITH THE MATERIAL ATTACHED.

Disbursement Review Process, Continued

The Request for Correction (DA-02-055) is divided into three general sections:

- The **heading** section identifies

  - agency number,
  - batch ID,
  - voucher number,
  - voucher amount,
  - DOA individual who noted the deficiency, and
  - batch type.

This section aids the agency in identifying the problem document and gives a DOA contact when additional information is needed to resolve the problem.

- The **problem identification** section identifies the type of problem that exists and indicates what needs to be done to correct the problem. It is divided into four areas:

  - Batch Header,
  - Voucher Data Elements,
  - Voucher Coding, and
  - General.

Form Section	Description
Batch Header	Requires the agency to make an adjustment or provide missing information to the header.
Voucher Data Elements	Indicates a problem with the information or justification from the users.
Voucher Coding	Deals with the transaction coding on the voucher. Agency should review the coding procedures established in the applicable section of this manual. If problem cannot be corrected after a review of the manual and a review of the previously submitted document, call DOA for assistance.
General	Deals with general requirements for batch submission.

Disbursement Review Process, Continued

- The **remarks** section is used by DOA to describe the problem in more detail, if needed, or relay additional information to the agency.

Notice of Error Correction by DOA

DOA occasionally contacts the agency by telephone to resolve a problem. This usually occurs after a transaction error is detected during processing. When a call is received, the agency should resolve the error and notify DOA of the correct entries as soon as possible. Prompt agency action is necessary to avoid delays in processing and posting.

Once the document containing the error has been located and the correct entries determined,

- make corrections to the agency copy of the document and batch header and
- adjust the transaction/batch control log to reflect the changes.

DOA will make the same changes to the original documents and note the name of the individual at the agency who authorized the change. The agency will not receive an adjusted batch header in these instances. It is the agency's responsibility to ensure changes to accounting transactions are posted to the agency's internal accounting and control records.

Decentralization of Financial Records

Introduction

The Decentralization of Financial Records program is implemented through a Memorandum of Understanding (MOU) approved by the

- Agency Head,
- Department of Accounts, and
- Virginia State Library and Archives.

Under this program, agencies and institutions are not required to send certain documents to DOA for review and storage. These documents include

- financial documents supporting vendor payments,
- travel expense reimbursements,
- revenue refunds,
- petty cash reimbursements, and
- inter/intra-agency transactions.

Benefits

The benefits of the Decentralization of Financial Records program include a reduction in the cost of copying and mailing large quantities of documents and a reduction in the processing time of accounting transactions. In exchange, participating agencies and institutions agree to accept a higher level of responsibility to detect and prevent errors and improper payments prior to disbursement that can only be detected with the physical documents in hand.

Although physical documents are retained within the agency or institution, DOA continues to carry out all Disbursement Review procedures that have not been automated by conducting on-site compliance reviews to determine whether or not provisions of the MOU have been complied with.

Questions?

Director, Disbursements Review
☎ (804) 225-3071
✉ dreview@doa.virginia.gov

Contacts

DOA Contact   Director, General Accounting
☎   (804) 225-2244
✉   gacct@doa.virginia.gov

Director, Disbursements Review and Fixed Assets
☎   (804)225-3071
✉   dreview@doa.virginia.gov

Subject Cross References

References   CAPP Topic No. 70210, *CARS Magnetic Media Interface Requirements*
CAPP Topic No. 20905, *Reconciliation Requirements*
CAPP Topic No. 60103, *Transaction Codes*
CAPP Topic No. 20310, *Expenditures*
CAPP Topic No. 60104, *Agency and FIPS Codes*