



INDIANA UNIVERSITY

OFFICE OF FINANCIAL MANAGEMENT SERVICES

FINANCIAL INFORMATION SYSTEM

**Introduction to
Transaction Processing**

**Financial Management Services
February 2009**

TABLE OF CONTENTS

An Overview of Transaction Processing	4
What Is Transaction Processing?	4
Who Uses Transaction Processing?	4
Getting Into The FIS	4
Logging Into the FIS	4
SAFEWORD Cards.....	7
The <i>Welcome</i> Screen	8
Taking a Look at a TP Financial Document	10
Document Header Information.....	11
The Body of the Document	12
Exiting the Document.....	12
Creating A New Transaction Processing Document.....	13
Selecting a Document Type	13
Creating a Distribution of Income/Expense Document.....	14
<u>Entering Header Information</u>	16
<u>Entering Accounting Data Into the Body of the Document</u>	18
<u>Using the Account Lookup Window</u>	20
<u>Using the Object Code Lookup Window</u>	23
<u>Correcting an Invalid Account Number or Object Code</u>	27
<u>The "Save" Function</u>	28
<u>Routing the Document</u>	29
What Happens To TP Documents After Initial Approval?	29
Routing	30
Ledger/Accounting Entries Process	30
"Action" Buttons	31

Checking Your In Box	33
<i>In Box</i> Features	34
Basic Navigation of the <i>In Box</i>	35
Taking Action on a Document in the <i>In Box</i>	38
Approving a Document	39
Disapproving a Document.....	40
Deferring a Document	42
Canceling a Document	42
Forwarding a Document.....	43
TP Search Procedures	46
Other Important Features of TP	49
Using the <i>Route</i> Icon	49
Using Ad Hoc Routing.....	49
Using the "Template" Function	51
Using the "Error Correction" Function.....	52
Attaching a Note to a Document	54
Placing a Document in a File Folder	56
Deleting a Folder or Document in a Folder.....	59
Appendix A - Glossary of Terms.....	62
Appendix B - TP File Menu Options.....	65

An Overview of Transaction Processing

What Is Transaction Processing?

Transaction Processing (TP) is an "electronic documents" environment in the Financial Information System (FIS). Electronic financial documents offer much in terms of efficiency, expediency, and access to information for the person working with financial transactions. Many useful automated tools have been customized for the user, including:

- correct routing of documents for approval and review
- assignment of delegates for Fiscal officers and other approvers
- establishment of sub-accounts
- establishment of sub-object codes

Who Uses Transaction Processing?

Many people within a variety of organizations throughout the university may use TP, though they may use it in different ways and for different purposes. Those currently involved in the processing of financial records may include:

- support staff
- Fiscal officers(s)
- business manager(s)
- anyone who reviews/approves financial transactions

Getting Into The FIS

The TP environment operates very much like any other computer application. In *Appendix C* you will find a brief review of the general computer environment.

Logging Into the FIS

Begin by logging into the Onestart portal www.onestart.iu.edu. The initial login screen will appear. This is displayed below. Click on the login button. You will be taken to the Central Authentication Service (CAS) screen. This is displayed below. Enter your username and password, then click login.

login

[SafeWord Card login](#)
For Faculty/Staff ONLY

[Login help](#)

[Don't have an account?](#)

INDIANA UNIVERSITY
central authentication service

Please enter your username and password.

Username:

Password:

login

- To access protected services, you will need to establish your IU authentication.
- For security reasons, you will need to close your web browser when you finish using services that require authentication.
- If you need assistance, view [login help](#).


© 2002, The Trustees of Indiana University

You will be directed to your Onestart personal homepage which is displayed below. Select the Services tab and click on the Administrative Systems button in the left sidebar.

The screenshot shows the OxeStart website interface. At the top, the 'Services' tab is circled. On the left sidebar, 'FIS' is circled under the 'Data Access' section. The main content area features three panels: HRMS (Human Resource Management System), EPIC - Departmental Tasks, and FIS. The FIS panel at the bottom has a red circle around the 'FIS' logo and another red circle around the 'Launch the FIS' link.

In the Administrative Systems section, find the FIS portal at the bottom of the page. Within the FIS portal, click on Launch the FIS, as seen below. This will launch the FIS sign-in window.

This is a close-up of the FIS portal window. The title bar says 'FIS'. The main content area shows the 'FIS' logo and two links: 'Launch the FIS' and 'Go to FIS Portal'. A red arrow points to the 'Launch the FIS' link.

*If your computer system is new you may need to install the ICA client database, a server application that supports the running of FIS on your machine. You can install the ICA client from your University systems tab.

The screenshot shows the Windows Server 2003 logon screen. The title bar says 'Log On to Windows'. The main area displays the Microsoft Windows Server 2003 Standard Edition logo. Below the logo are fields for 'User name:', 'Password:', 'Log on to:' (set to ADS), 'SafeWord Password:', and 'About'. At the bottom are buttons for 'OK', 'Cancel', 'Shutdown...', and 'Options <<'.



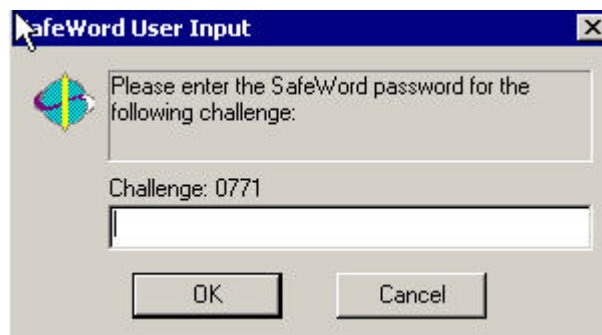
Enter your User ID. Use the *Tab* key to move to the next field, which is the "Password" field. Enter your password. NOTE: The password will not be visible on the screen as you enter it.

Any important messages FIS users should be aware of will appear in a separate window. These messages do not require any on-screen response but should be noted by the user.

SAFEWORD Cards

In order to gain access to the TP environment, you will need to be identified as an FIS user and have a "Safeword" security card which will allow you to continue after logging into the FIS. Once you have been identified as an FIS user, and have a Safeword card you will be ready to access TP documents. After you have entered your User ID and Password on the *Login* screen and click on *OK*, an *Authentication* screen will appear asking you to enter your Personal Identification Number (PIN) and a "Challenge" on the Safeword card. Follow the instructions on the screen. If you make a mistake while using the card, the screen will advise you how to respond. Your PIN should be changed periodically to ensure adequate security.

*Note there are varying types of safeword cards resulting in different methods for logging in, please refer to your instructions that was provided with your safeword card. The method given in this document is the most frequently used method with the Safeword Platinum card. Newer cards now provide a challenge number as soon as you enter your pin, you therefore do not need to enter a challenge number and then a code into the FIS to log in.



Once you have received your Safeword card you will be able to access TP documents by simply following the steps below.

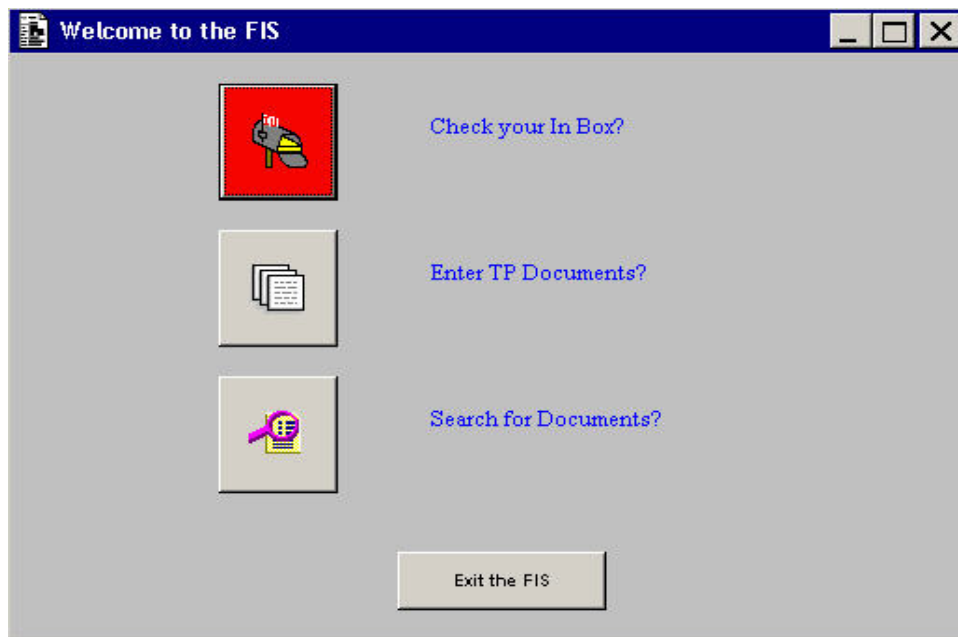
1. Activate your SAFEWORD card by pressing the *On* button.

2. Enter your PIN number into the card.
3. When you see "0" displayed on the card, enter the challenge displayed on your computer screen into your card.
4. Press *Enter* on the card.
5. Enter the first 4 characters or the only 4 characters from the card on your computer screen.
6. Click on *OK*. (If you click on *Cancel* at this point you will exit the system.)

You should now be at the "Transaction Processing Welcome Screen" (*Welcome to the FIS*).

The Welcome Screen

At this point you are presented with a series of choices for further action. By clicking on one of the icons shown on the screen below you may either check your In Box, enter documents, or perform various search procedures. You may also exit the system if you wish, by clicking on the *Exit the FIS* button.



If the *In Box* button is red and the mailbox symbol is in the open position (*see left*), there are documents in the system awaiting some sort of action from you. Clicking on this icon forwards you to the *In Box* screen where you will see a list of documents awaiting your approval or review. Documents you have previously saved and not routed will also be found here.



Clicking on the *Enter TP Documents* button forwards you to the *Document Group Selection* screen where you may indicate which group you wish to select from and which document type you wish to create.



Clicking on the *Search for Documents* button takes you to the *Document Search* screen. Various types of searches may then be done by making further selections.

Exit the FIS

Clicking on the *Exit the FIS* button allows you to exit the system completely.

As noted above when the *In Box* button is red and the mailbox is open, there are documents awaiting further action by you. The next section will familiarize you with a typical TP document.



Click on the *In Box* icon.

You are now ready to take a look at a Transaction Processing document.



Taking a Look at a TP Financial Document

When you open the *In Box* you will see a screen similar to the one below:

The screenshot shows the 'In Box' application window. At the top, there is a 'User' section with a text box containing 'AKRICHAR' and an 'Alternate...' button. Below this is a 'Documents' section with a 'Goto:' field and a 'Clear' button. The main area is a table with columns: Number, Type, Status, Created, Initiator, Workgroup, and Note. The table contains several rows of document information. To the right of the table is a vertical scroll bar and a 'Note' column with checkboxes. On the far right, there are several buttons: 'Open', 'Cancel', 'Review ALL FYI', 'Document Select...', 'More...', and 'Search...'.

	Number	Type	Status	Created	Initiator	Workgroup	Note
01	ND7457409	A21	Approval Req	08/20/2008	THBURRIS	CGD	<input checked="" type="checkbox"/>
01	LL5313709	ACCT	FYI	09/30/2008	TRDADAMS	CGD	<input type="checkbox"/>
01	DL5170609	DI	FYI	09/30/2008	BRANIGI	RA08	<input type="checkbox"/>
01	IL4963109	DV	Approval Req	09/29/2008	GOURLEYM	RA08	<input type="checkbox"/>
01	ZQ4935609	DV	Approval Req	09/29/2008	GOURLEYM	RA08	<input type="checkbox"/>
01	OC5073209	DV	Def Approval	09/29/2008	MWARMAN	CGD	<input checked="" type="checkbox"/>
01	AT0795009	GEC	Approval Req	01/22/2009	PQUIMBY	N	<input type="checkbox"/>
01	XF4360909	ST	Approval Req	09/25/2008	BRAMEIER	RA09	<input type="checkbox"/>

The *In Box* screen lists all documents that are awaiting some type of action by you. Looking at a document will help you familiarize yourself with the TP environment. The *General Error Correction* document provides a good example of a typical TP document.



Place the cursor on the document number where there is a GEC in the "Type" column by (you may have to use the scroll bar to locate one if you have many documents awaiting action).



Double-click on the document number to open the document. We will be using a *General Error Correction* "GEC" document for information purposes in this documentation.

When you double-click on a document number, that document will be displayed as follows:

General Error Correction

General Error Correction
 Document #: 01-AT0795009 Status: P
 Initiator: PQUIMBY
 Created: 01/22/2009
 Amount: 250.00
 Description: Move to correct obje

Departmental Information
 Org Doc #:
 Explanation: Document

From

COA	Account	Object	Prior Doc	Description	Amount
1	BL 1031400	5055	EP 130298	Dell comp	250.00
<input type="checkbox"/>	GENFND PSY	PSYCHOLOGY		OTHR EXPENSE	N

Total: 250.00

To

COA	Account	Object	Prior Doc	Description	Amount
1	BL 1031400	5215	EP 130298	Dell comp	250.00
<input type="checkbox"/>	GENFND PSY	PSYCHOLOGY		EXPEND CMPTR	N

Total: 250.00

Buttons: OK, CANCEL, ROUTE, BALANCE, NOTES, Sub Acct

Document Header Information

The two boxes at the top of the screen titled *System Information* and *Departmental Information* form the *Document Header*.

Under *System Information* the following can be found:

- a system-assigned document number
- the User ID of the person who initiated the document
- the date the document was created
- the total amount of the document
- a general description of the transaction
- the status of the document

Under *Departmental Information* the following can be found:

- an organization document field allowing organizations to enter their own identifier for the document (optional)
- a box in which information may be entered that will further explain or clarify the transaction (optional, but often recommended to be used)

The Body of the Document

The two sections below the *Document Header* are the *From* and *To* sections of the document. This is where the accounting information is entered to move income or expense to the proper account(s) or object code(s).

Another unfamiliar term may be "chart code." This code is derived from the account number and is automatically filled in by the system. There are multiple charts of accounts. This will be explained further in the next section: "*Creating a New Transaction Processing Document.*"

Exiting the Document

To exit the document and return to the *Welcome* screen:



Click on the *Cancel* icon to the right of the *General Error Correction* screen.

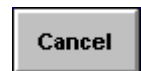


(NOTE: The *Cancel* function *always* returns you to the previous screen).

This will return you to the *In Box* screen. Then:



Click on the *Cancel* button to the right of the *In Box* screen.



You should now have returned to the *Welcome to the FIS* screen.



To briefly recap. So far you have learned:

- what FIS/TP is
- how to log into the FIS system
- how to retrieve a document from your *In Box*
- what a TP financial document looks like
- how to exit a TP document
- how TP operates much like other Windows applications

Using what you have learned so far, you should now be able to create a *General Error Correction* document of your own.



Creating A New Transaction Processing Document

At the *Welcome to the FIS* screen



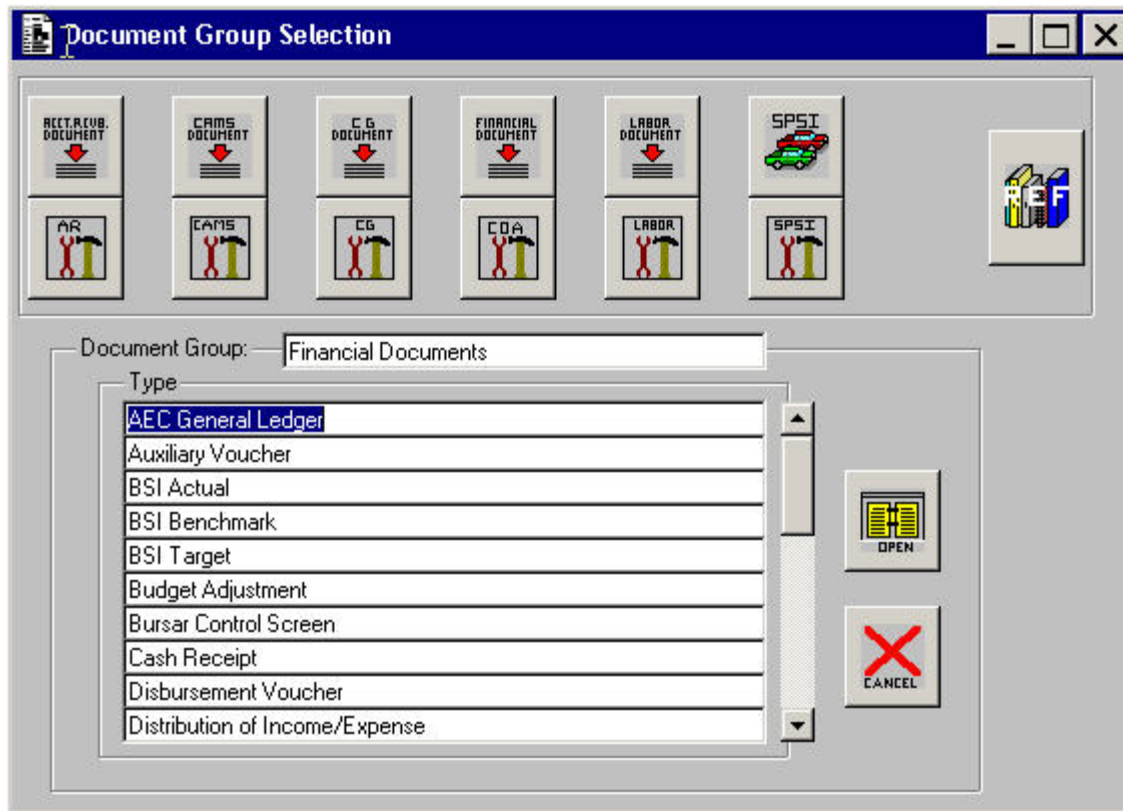
Click on the *Enter TP Documents* button

Selecting a Document Type

The *Document Group Selection* screen allows you to select from the following groups.

- | | |
|--|----------------------------------|
| 1. Accounts Receivable Reference Documents | 7. Financial Documents |
| 2. Account Receivables Maintenance | 8. Chart of Accounts Maintenance |
| 3. Capital Asset Documents | 9. Labor Document |
| 4. Capital Asset Maintenance | 10. Labor Maintenance (inactive) |
| 5. Contract and Grant Documents | 11. SPSI (inactive) |
| 6. Contract and Grant Maintenance | 12. SPSI Maintenance (inactive) |
| | 13. Reference tables |

The buttons designating document groups appear with a down arrow on the button, while maintenance group buttons are designated with a hammer and wrench symbol. The first group to be displayed is the *Financial Document* group (*see next page, this is the default setting and can be changed*).



If the Document Group shown is not Financial Documents, click on the *Financial Documents* button. The document list above should appear.

Creating a General Error Correction Document

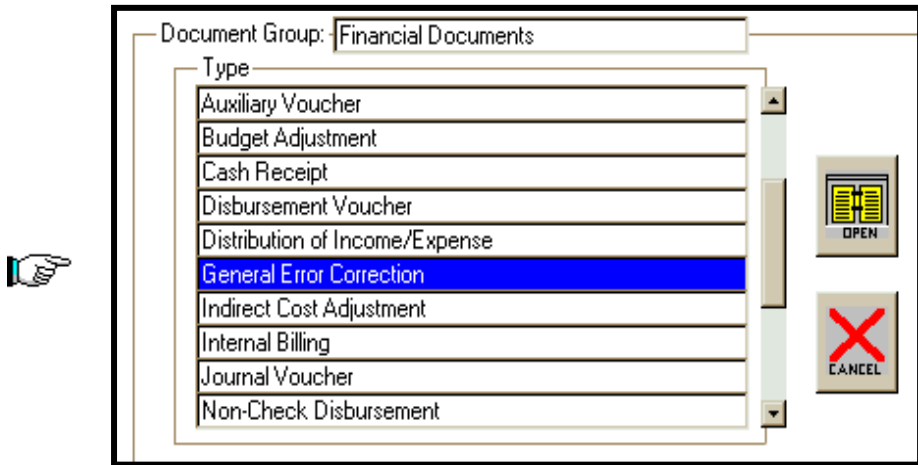
The following scenario illustrates the use of the *General Error Correction* (GEC) document. The GEC document has many similarities with other TP documents. What you learn in the following example should help you in other TP documents, with regard to the way fields and lookup screens operate.


The Scenario

Professor Wisdom of the IUB Psychology department was awarded a research grant. Before the funds arrived, the department agreed to purchase some computer equipment and laboratory items the professor needed to begin his research. The Professor has now received the money from his granting agency so he wishes to move the expense from the Psychology account involved to his grant account.



This scenario calls for the movement of expense from two different object codes in a general Psychology account, to a single grant account. The proper document to complete this transaction in the TP system is the *General Error Correction* document.

In the *Financial Documents* Group, use the mouse to place the cursor on the line that reads *General Error Correction*.



 Click on the *Open* button at the top right corner of the screen

OR

  Double-click on the line where you placed the cursor.

The following screen should now appear:

General Error Correction

General Error Correction
 Document #: 01-DQ0795109 Status: ?
 Initiator: GCARTE
 Created: 01/22/2009
 Amount: 0.00
 Description:

Departmental Information
 Org Doc #:
 Explanation:

From

COA	Account	Object	Prior Doc	Description	Amount
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

 Total: 0.00

To

COA	Account	Object	Prior Doc	Description	Amount
<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

 Total: 0.00

OK
 CANCEL
 ROUTE
 BALANCE
 NOTES
 Sub Acct



Remember: The Enter key does not move the cursor, so when going from one field to the next use the Tab key.

In the top left area of the screen, there appears a section labeled *General Error Correction* in which certain information is automatically provided by the system. In this area the following fields will always be propagated:

- *system-assigned document number*
- *user ID of the document initiator*
- *date the transaction is being created*

The “Amount” and “Status” fields will be automatically generated by the system once you take action on the document. The "Amount" field will remain empty until you have entered the amounts on the document “To” and “From” lines. A question mark appears in the "Status" field because the document is in the process of being created. Once the document is saved to your Inbox or routed for approval, the status will change to reflect the action.

The “Description” field is not generated by the system and requires manual input. A description must be entered in order for the document to route. The data entered here will appear as the description for this transaction (or the transaction title) on your financial statements and reports.

Entering Header Information

1. Make sure the cursor is in the "Description" field.
2. Enter the following description.



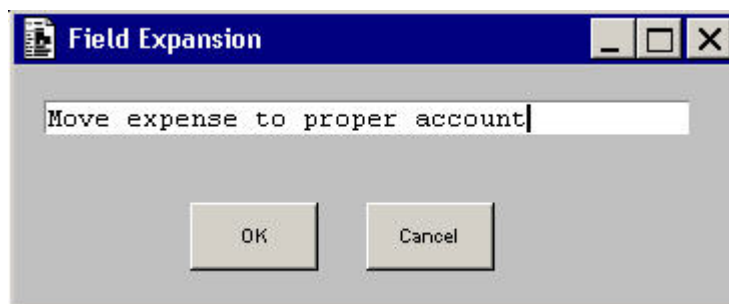
Move expenditure to proper account (be specific as to why you are moving the expenses)

The "Description" field scrolls over as you type so that only part of the data is visible within the field. If your description is fairly long (up to 40 characters), and you wish to see the full text, you have the option of opening an expansion window that displays the entire "Description" field. To do this:



Double-click on the "Description" field.

You should now see the following field expansion window on your screen.





Click on *OK* to return to the document.

3. Press *Tab* to take you to the next field, which is the *Org Doc #* field. This is not a required field and is usually only used by departments for a reference or tracking system for documentation. It may also be used to track documents through the Document Search feature in the FIS.

4. Enter the following reference number.



PWGAI

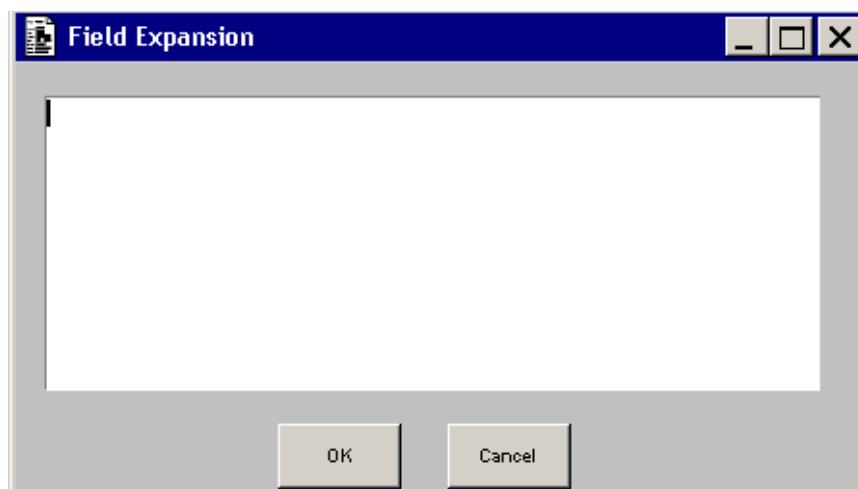
5. Tab into the "Explanation" field.

The explanation field is optional and should be used to clarify the purpose of the transaction, or to include additional information that would not fit in the "Description" field. You can enter your explanation (up to 400 characters) at this point and the field will scroll over just as the "Description" field did. An alternative method of entering the explanation is to:



Double-click on the "Explanation" field.

The field expansion window displayed below should now be visible.



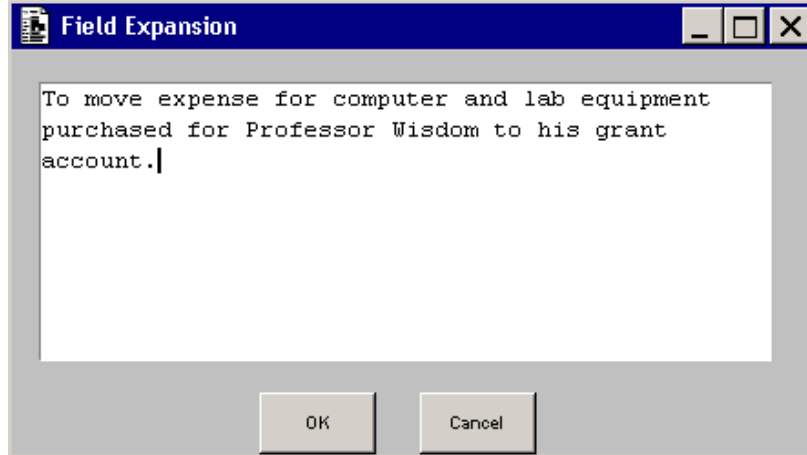
6. Make the following entry on the field expansion window.



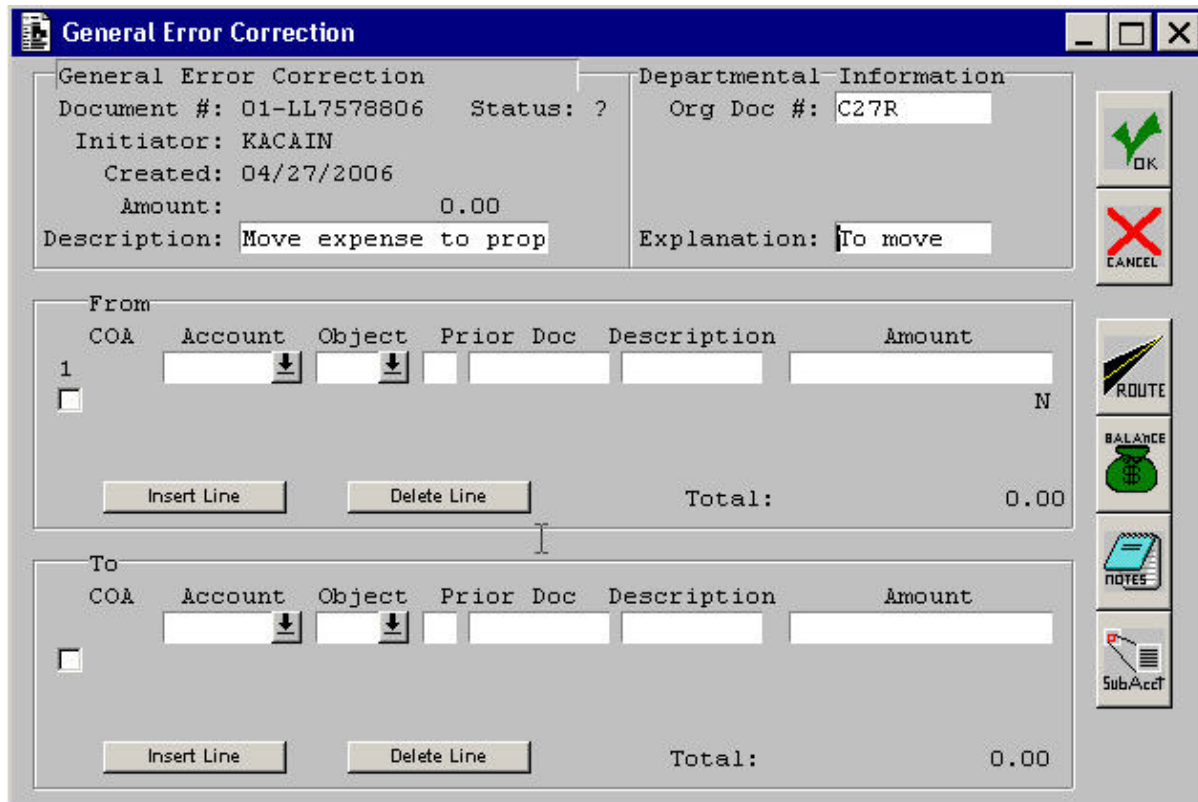
To move expense for computer and lab equipment purchased for Professor Wisdom to his grant account.



Click on *OK* to return the field to the document.



With the entries you have made so far, your document should look like this:



Entering Accounting Data Into the Body of the Document

You are now ready to enter the accounting data into the "Body" of the document. The body of the document is split into two sections: the "From" section and the "To" section. First, fill out the *From* section, indicating which account the expense will be moved from. To do this, enter the account number and object code directly into the appropriate fields if you already know them.

COA	Account	Object	Prior Doc	Description	Amount
1					

Buttons: Insert Line, Delete Line

Total: 0.00

If you don't know the account number or object code you can look them up in the *Account Lookup* and *Object Code Lookup* windows. The following explains how to use these windows.

1. Tab into the "Account" field in the *From* section of the document.



Click on the down arrow to the right of the "Account" field.

The *Account Lookup* screen (*below*) should now be visible.

Account Lookup

Search Criteria

Chart: []

Account: []

Fiscal Officer: []

Supervisor: []

Title: []

Org: []

Sub Fund: []

Status: Active Only Active/Expired All (incl. Closed)

Search

Clear

Other Searches

My Accounts...

Contracts & Grants...

Search Results

Cht Number	Fsc1 Off	Supervisor	Title	Org	SubFnd	Status

OK Cancel More...

Using the Account Lookup Window

Various searches can be performed on this screen to help determine the appropriate account number by making entries into the *Search Criteria* section in the upper left corner of the screen.

If you know the title of the account you want to move the expense from, simply type in the name of that account. For the purposes of this exercise you will be using a Psychology account:

1. Use the *Tab* key to move to the "Title" field and make the following entry:



*Psychology (F2)**

*Note: An * is used to indicate that other characters follow the ones typed on the screen. It is called a "wildcard". The F2 function key must be pressed before the * is typed for this character to be recognized as a "wildcard" and not simply an asterisk. Also note that the asterisk on the number pad will not work for a wildcard function.*



Click on the *Search* button

The screen should now look like this:

The screenshot shows the 'Account Lookup' window with the following search criteria entered:

- Chart: []
- Account: []
- Fiscal Officer: []
- Supervisor: []
- Title: PSYCHOLOGY*
- Org: []
- Sub Fund: []
- Status: Active Only Active/Expired All (incl. Closed)

The search results table is as follows:

Cht	Number	Fsc1	Off	Supervisor	Title	Org	SubFnd	Status
BL	1031400	PARSLEY	BBERTENT	PSYCHOLOGY		PSY	GENFND	A
BL	2331489	PARSLEY	BBERTENT	PSYCHOLOGY CONTINUATION A		PSY	DOFDS	A
BL	2631468	PARSLEY	SMITH4	PSYCHOLOGY FELLOWSHIPSWSH		PSY	RESFEL	A
EA	2968033	DADOOLEY	LAUDRICH	PSYCHOLOGY FUND- STUDENT		BSSD	ROFDS	A
EA	2968067	DADOOLEY	LAUDRICH	PSYCHOLOGY EQUIP FUND		BSSD	ROFDS	A
IN	1294700	CFRYE	BNG	PSYCHOLOGY		PSY	GENFND	A

If you look under the "Chart" column in the *Search Results* section, you will notice that the accounts listed here do not all belong to the same chart of accounts. Since the account you are looking for is in the Bloomington chart of accounts, instead of scrolling through all of these to make your selection you can narrow down the search criteria to simplify the process as follows:



Click on the *Clear* button in the *Search Criteria* section of the screen to clear all of the data out of the section.

1. Click on the "Chart" field and make the following entry:



BL

2. *Tab* down to the "Title" field and make the following entry:



Psychology (F2)*



Click on the *Search* button

Now only account numbers in the Bloomington chart of accounts will be displayed:

The screenshot shows the 'Account Lookup' application window. The 'Search Criteria' section has the following fields: Chart: BL, Account: (empty), Fiscal Officer: (empty), Supervisor: (empty), Title: PSYCHOLOGY*, Org: (empty), Sub Fund: (empty), and Status: Active Only, Active/Expired, All (incl. Closed). There are 'Search' and 'Clear' buttons. The 'Other Searches' section has 'My Accounts...' and 'Contracts & Grants...' buttons. The 'Search Results' section displays a table with columns: Cht, Number, Fsc1, Off, Supervisor, Title, Org, SubFnd, Status. The 'Cht' column is circled in yellow. The results table contains the following data:

Cht	Number	Fsc1	Off	Supervisor	Title	Org	SubFnd	Status
BL	1031400	PARSLEY	BBERTENT	PSYCHOLOGY	PSY	GENFND	A	
BL	1031485	MTHEODOR	GERSTMA	PSYCHOLOGY-COGNITIVE SCIE	CPY	GENFND	A	
BL	2331430	PARSLEY	SMITH4	PSYCHOLOGY RENOVATIONS	PSY	DOFDS	A	
BL	2331460	PARSLEY	SMITH4	PSYCHOLOGY COURSE BUYOUTS	PSY	DOFDS	A	
BL	2331489	PARSLEY	BBERTENT	PSYCHOLOGY CONTINUATION A	PSY	DOFDS	A	
BL	2631468	PARSLEY	SMITH4	PSYCHOLOGY FELLOWSHIPWSH	PSY	RESFEL	A	

At the bottom of the window are 'OK', 'Cancel', and 'More...' buttons.

In this scenario, we are searching for a General Fund account. General Fund accounts are always listed as 'GENFND' in the SubFnd column of the search screen. We can immediately eliminate the accounts that are not listed as General Fund. This leaves us with two accounts to choose from.

Cht Number	Fsc1	Off	Supervisor	Title	Org	SubFnd	Status
BL 1031400	PARSLEY	BBERTENT	PSYCHOLOGY	PSY	GENFND	A	
BL 1031485	MTHEODOR	GERSTMA	PSYCHOLOGY-COGNITIVE SCIE	CPY	GENFND	A	

Look at the Org column in the lookup screen. This column indicates what Organization the account belongs to. Two different Orgs are listed. Select the account that is listed with your Org. In this scenario, our Org is PSY for Psychology. You can also specify this in the original lookup by typing your Org code in the Org field at the top of the screen as seen in the image below:

Account Lookup

Search Criteria

Chart: BL

Account: []

Fiscal Officer: []

Supervisor: []

Title: PSYCHOLOGY*

Org: PSY

Sub Fund: []

Status: Active Only Active/Expired All (incl. Closed)

Other Searches

My Accounts...

Contracts & Grants...

Search

Clear


Search Results

Cht Number	Fsc1	Off	Supervisor	Title	Org	SubFnd	Status
BL 1031400	PARSLEY	BBERTENT	PSYCHOLOGY	PSY	GENFND	A	

We will be using account number 1031400. To select the Psychology general fund account, place your cursor on the line with the account listing.

 Double-click

OR

 Click on *OK* at the bottom of the screen

The account number will automatically be entered on your document, which will return to the screen. The chart code has been derived from the account number and also appears just ahead of the account number on the screen. You are now ready to enter the appropriate object code. Again, for the sake of this exercise it is assumed that you are not sure what object code should be entered.

Using the Object Code Lookup Window

First *Tab* into the "Object" field on the main document. Then:



Click on the down arrow beside the "Object" field.

The *Object Code Lookup* window should now appear on the screen.

Year	COA	Name	Short Name	Code	Level	Type	SubType	Active
2009	BL	BALANCE FORWARD	BAL FORWARD	0110	BCAS	IN	BU	Y
2009	BL	SUM2 CR HR FEE	S2 DIST EDUC	0701	DIST	IN	SF	Y
2009	BL	MSIS APPLICATIO	MSIS APP FEE	0702	STUF	IN	SF	Y
2009	BL	PRIOR YEAR FEES	PRIOR YR FEE	0703	STUF	IN	SF	Y
2009	BL	STUDENT FEES RE	FEE REINSTAT	0704	STUF	IN	SF	Y
2009	BL	EDUCATION CERTI	EDUC CERT	0705	STUF	IN	SF	Y

At this point you can either scroll through all of the object codes listed, or enter specific search criteria to find the object code you need more quickly. The following sample search will familiarize you with some of the functionality of this screen. (NOTE: The fiscal year and the chart code should be provided in the corresponding fields in the *Search Criteria* section at the top of the window. Because the account number was obtained from the BL chart of accounts, the object code must also be obtained from the BL chart. If the system does not supply these, enter them manually).

Assuming that the object code you need is in the **52XX** series, but you are uncertain of the exact number, you may:

Tab into the "Object" field and make the following entry:



52 (F2)* (be sure to create a wildcard by pressing the F2 key and the asterisk!)



Click on the *Search* button.

Your screen should now look like this:

Object Code Lookup

Search Criteria

Fisc Year: 2009
Chart: BL
Object: 52*
Obj Name:
Short Nm:
Level:
Type:
Sub Type: Active: Y

Search
Clear

Search Results

Year	COA	Name	Short Name	Code	Level	Type	SubType	Active
2009	BL	EXPENDABLE EQUI	EXPEND EQUIP	5200	S&E	EX	NA	Y
2009	BL	EXPENDABLE EQUI	EXPEQUPTTLTR	5201	S&E	EX	NA	Y
2009	BL	NON-CAPITAL GEN	NON-CAP GEN	5202	NC	EX	NA	Y
2009	BL	OFFICE FURNITUR	OFFICE FURN	5210	S&E	EX	NA	Y
2009	BL	FURNITURE	FURNITURE	5211	S&E	EX	NA	Y
2009	BL	EXPENDABLE COMP	EXPEND CMPTR	5215	S&E	EX	NA	Y

OK Cancel More...

Double-click on the **5200** object code line to enter it into your document.



You will be automatically returned to the *General Error Correction* document. You are now ready to enter the dollar amount into your document.

NOTE: The “Account” and “Object” fields operate the same way in all TP documents with regard to lookup windows and searches.

NOTE: All *General Error Correction* documents require a prior document number. This field provides a cross-reference to the prior document for which the present document provides a correction. This cross-reference allows for a clearer audit trail.

Tab into the "Amount" field of the *From* section and make the following entry:



300

Your *General Error Correction* document should now look like this:

General Error Correction

General Error Correction
 Document #: 01-OU9140006 Status: ?
 Initiator: KBRAND
 Created: 06/06/2006
 Amount: 300.00
 Description: Proper Account

Departmental Information
 Org Doc #: C27R
 Explanation: To move

From

COA	Account	Object	Prior Doc	Description	Amount
1	IN 1294000	5200	01	MP8596744 rchase	300.00
<input type="checkbox"/>	GENFND CHEM CHEMISTRY			EXPEND EQUIP	N

Total: 300.00

To

COA	Account	Object	Prior Doc	Description	Amount
1					
<input type="checkbox"/>					N

Total: 0.00



*Remember: If your transaction requires more than one line you may add additional lines by clicking on the **Insert Line** button. To remove a line, place your cursor anywhere on that line and click on the **Delete Line** button.*

You are now ready to complete the *To* section of the document. You may enter the information directly into the appropriate fields:


To

COA	Account	Object	Prior Doc	Description	Amount
1					
<input type="checkbox"/>					N

Total: 0.00

Or use the lookup windows discussed previously (see pp. 22-27). The fields in this section function in the same manner as the fields in the *From* section.

1. Tab into the "Account" field and make the following entry:

 **4894039**

2. *Tab* into the "Object" field and enter:

 **5200**

3. *Tab* into the "Prior Document" field and enter:

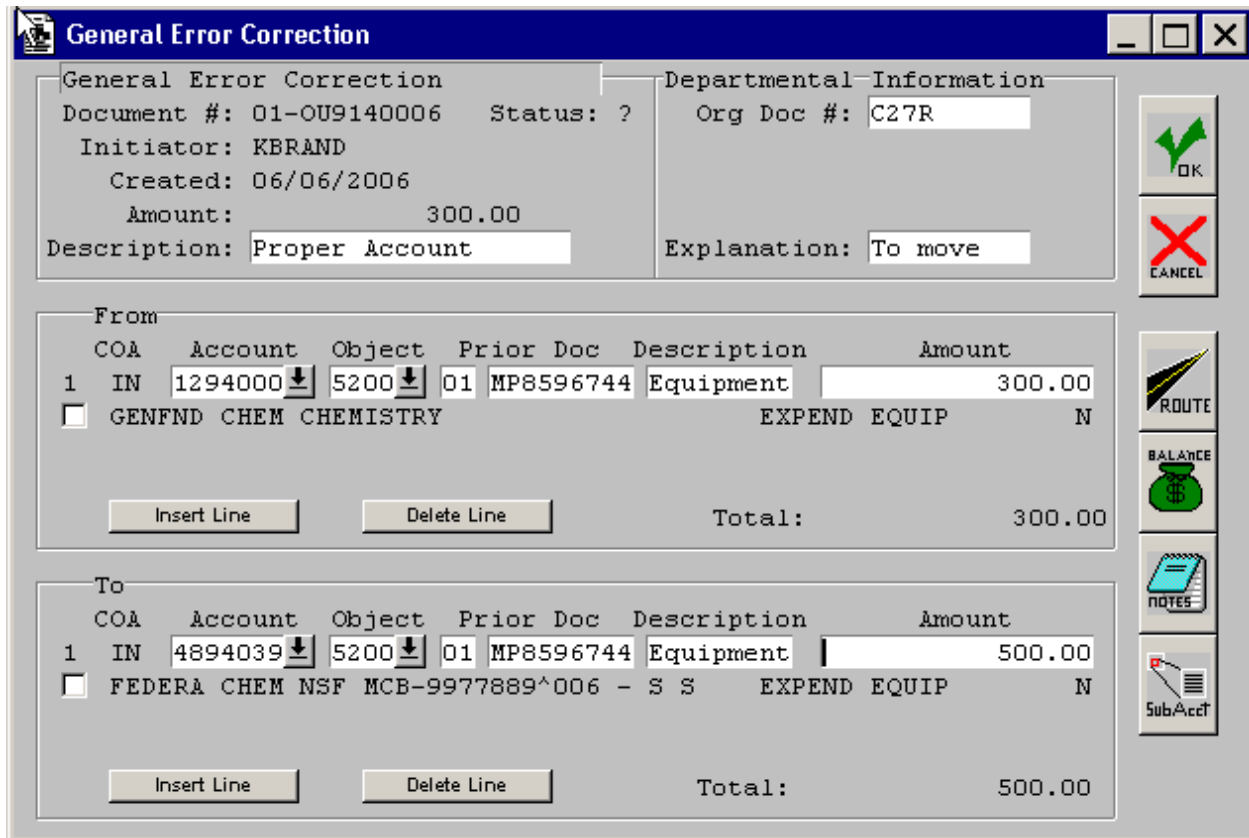
 **01 MP8596744**

4. *Tab* into the "Amount" field and enter:

 **500**

5. Press *Tab* again to see the "Total" amount populated by the system in the *To* section.

You have completed entering all of the necessary information into your document and it should now look like this:



General Error Correction

General Error Correction
Document #: 01-OU9140006 Status: ?
Initiator: KBRAND
Created: 06/06/2006
Amount: 300.00
Description: Proper Account

Departmental Information
Org Doc #: C27R
Explanation: To move

From

COA	Account	Object	Prior Doc	Description	Amount
1	IN 1294000	5200	01 MP8596744	Equipment	300.00
<input type="checkbox"/>	GENFMD CHEM	CHEMISTRY		EXPEND EQUIP	N

Insert Line Delete Line Total: 300.00

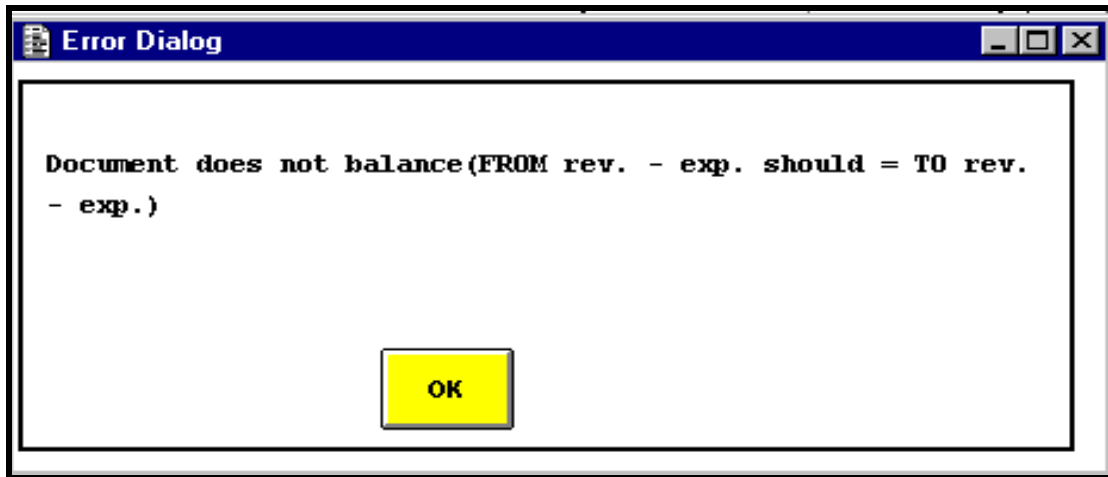
To

COA	Account	Object	Prior Doc	Description	Amount
1	IN 4894039	5200	01 MP8596744	Equipment	500.00
<input type="checkbox"/>	FEDERA CHEM NSF	MCB-9977889^006 - S S		EXPEND EQUIP	N

Insert Line Delete Line Total: 500.00

OK
CANCEL
ROUTE
BALANCE
NOTES
SubAcct

In order to route the document, the "Total" amounts in both the *From* and *To* sections **must** be equal. If you try to route the document and the amounts are not equal, you will receive an error message which looks like this:



Tab into the "Amount" field of the *To* section, and use the *Delete* key to erase the \$500 amount. Type \$300 in the same field and click on the *OK* button, the document should route successfully now.

Correcting an Invalid Account Number or Object Code

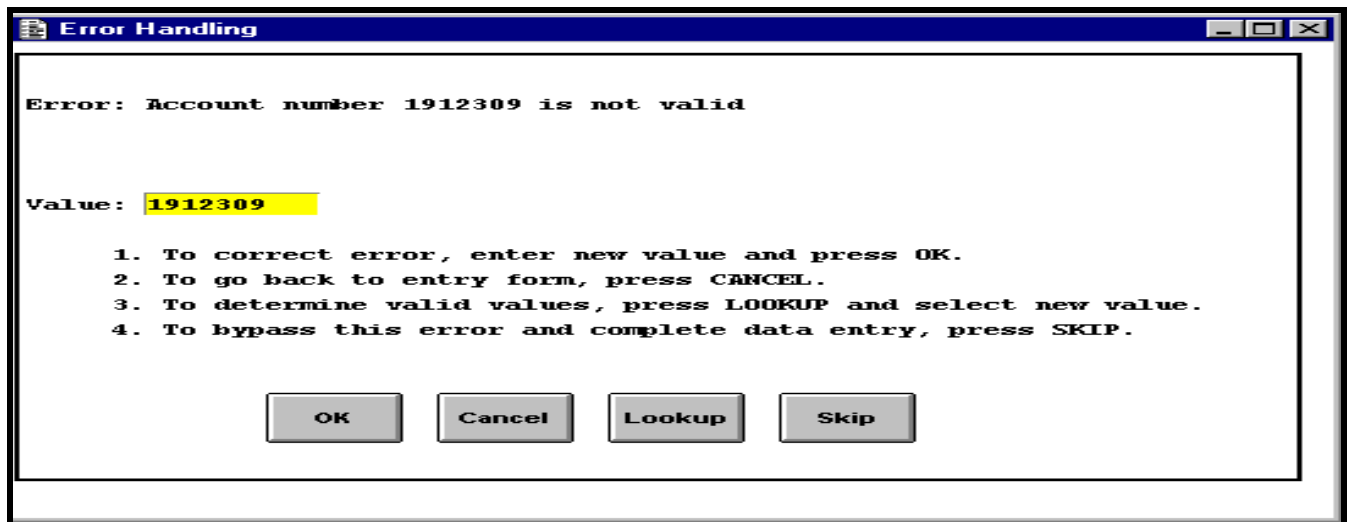
If you have entered an invalid account number or object code, an error screen will appear telling you the account number you have entered is not valid, or that the object code does not match the account for which it is designated.

Tab into the "Account" field of the *To* section of your document and delete the information using the *Delete* key. Change the account code to **1912309** and then:



Click on *OK*.

You should see a screen (*see below*) giving you a series of choices to correct or bypass the error.



Your document must be corrected before it can be routed. Use the *Delete* key to erase the incorrect information in the "Value" field and re-enter the correct account number (**4894039**). Then:



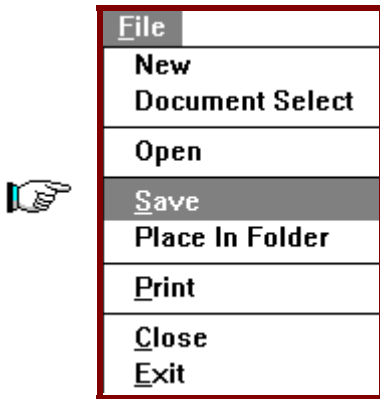
Click on *OK*.


The correct account number will be entered in your original document. Once all of the information is correct, your document can be routed.

The document is now ready to be **ROUTED**, thereby initiating its journey along the pre-established approval and review hierarchy. But before routing your document, another important function needs to be discussed: the "**Save**" function.

The "Save" Function



The "Save" function allows you to "freeze" a document at any stage while you are creating it. For example, if you are called away from your desk or have to leave the FIS while initiating a document, you may want to save it at that point and come back to it later. The "Save" function allows you to exit the document without losing the work you have already done. Alternatively, you may simply want to set aside a document to be completed later. Again you can save the document at any point in its creation and come back to it at a future time. The document will be stored in your *In Box* with an "Approval Def." status. It will maintain its original document number and the status as it appears on the document itself will be "I" ("In process") until you complete and route it. To save your document without routing it:



 Click on "File" on the menu bar at the top of the screen.

 Click on "Save."


Your document will be stored in your *In Box*. To retrieve the document, go to the *In Box* screen and place the cursor on the saved document number and either:

  Double-click on the document number, or


 Click on *Open*.

Routing the Document

Once all the corrections have been made, and once the document has been completed and all of the amounts balance, you can route the document. To do this:

 Click on the *OK* button to the right of the document screen.

The document will begin the routing process and you will be returned to the *In Box* screen.

 Clicking on *Cancel* will return you to the *Welcome* screen.

What Happens To TP Documents After Initial Approval?

Routing

After a document has been created (and providing all the information you have entered is valid), it is automatically routed to the designated people in the approval hierarchy based on tables pre-established by the fiscal officer and the organization. The following explains what happens "behind the scenes" once the routing process has begun.

Ledger/Accounting Entries Process

Once the financial document has been completed and routed, accounting entries automatically begin to take place. *Pending ledger entries* are created immediately, utilizing the information you entered on the TP document. These entries are useful in helping you see what effect a transaction has on an account's current balance.

When you click on the *OK* button to approve and route your document, the following messages will appear in the message box across the bottom of your screen in the order they are occurring.

- Performing final edit check--please wait
- Creating pending ledger entries--please wait
- Pending GL entries successfully stored
- Document XXXX has been routed successfully

These messages let you know what is happening within the FIS after the document has been routed.

Performing final edit check--please wait: the system is checking that the account numbers and object codes are valid and that the document is correctly balanced. If any of this information is missing or invalid, a window will appear asking you to correct the error.

Creating pending ledger entries--please wait: the document data are being placed in a pending ledger awaiting transfer to the general ledger (the mainframe database of all financial transactions).

Pending GL entries successfully stored: the document data have been stored in the pending ledger table.

Document XXXX has been routed successfully: the document is being sent to the next level for approval and/or review.

After a transaction has completed the routing process and has been approved, the pending ledger entries are replaced with *actual entries* that are fed into the general ledger. If the ledger entries are changed during the approval process the pending entries will not reflect this. The changes, however, will be reflected in the actual ledger entries. After the document has been successfully routed, you will be returned to the *Document Group Selection* screen. You may create a new document at this time, or you may return to the *Welcome* Screen by clicking on the *Cancel* button.

"Action" Buttons

Several buttons appear to the right of the screen in most TP documents. Each button performs a specific "action" or function that can also be accomplished through the use of the menu bar. However, the buttons provide a short-cut for the user. While many of these buttons appear on most documents, some documents have buttons that are unique to them. The following buttons appear on the *all FIS Transaction Processing* documents:



The *OK* button saves the document and begins the routing process.



This button cancels the document. If you have made any entries on the document you will see a pop-up screen with the following message: "Document has been modified. Would you like to save your changes?" Clicking on *Yes* will save the document to your *in* box. If you click *No* you will return to the *Document Group Selection* screen and the document will be lost. (*To find out how to save a document you have not yet completed, see page 31.*)



This button allows you to check the current financial status of an account. When you click on this button you will see a list of the types of on-line reports that are available within TP. Selecting the type of report you are interested in will bring up a Report Criteria Window. You may then generate a report based on the criteria you enter. (*See pp. 63-65 for more on "Checking Current Account Balances."*)



The *Notes* button allows you to attach a note to a document. Anyone who views the document may also view the note attached to it. (*See pp. 56-58 for more on "Attaching a Note to a Document."*)



This button allows you to assign a sub-account number, a sub-object code, a project code, and/or an additional reference number to a transaction.



This feature is not yet available and only appears on the *Distribution of Income/Expense Document*.



The *Route* button will be explained in the section entitled "*Other Important Features of TP*" (*see p. 50*).



To recap. In this section you have learned:

- how individual TP documents perform different transactions

- how to select a document from the various document types
- how to create a document

In creating a document you have learned:

- how to enter data into expansion windows as well as directly into the fields
- how to use the account and object code lookup screens
- how to insert and delete lines
- how to correct errors in dollar amounts, account numbers and object codes
- how to "save" a document
- how to route a document
- what happens to a document "behind the scenes" once it is routed
- how "action" buttons work during the document creation process

At this point it will be useful to take a closer look at the functions of the *In Box*.

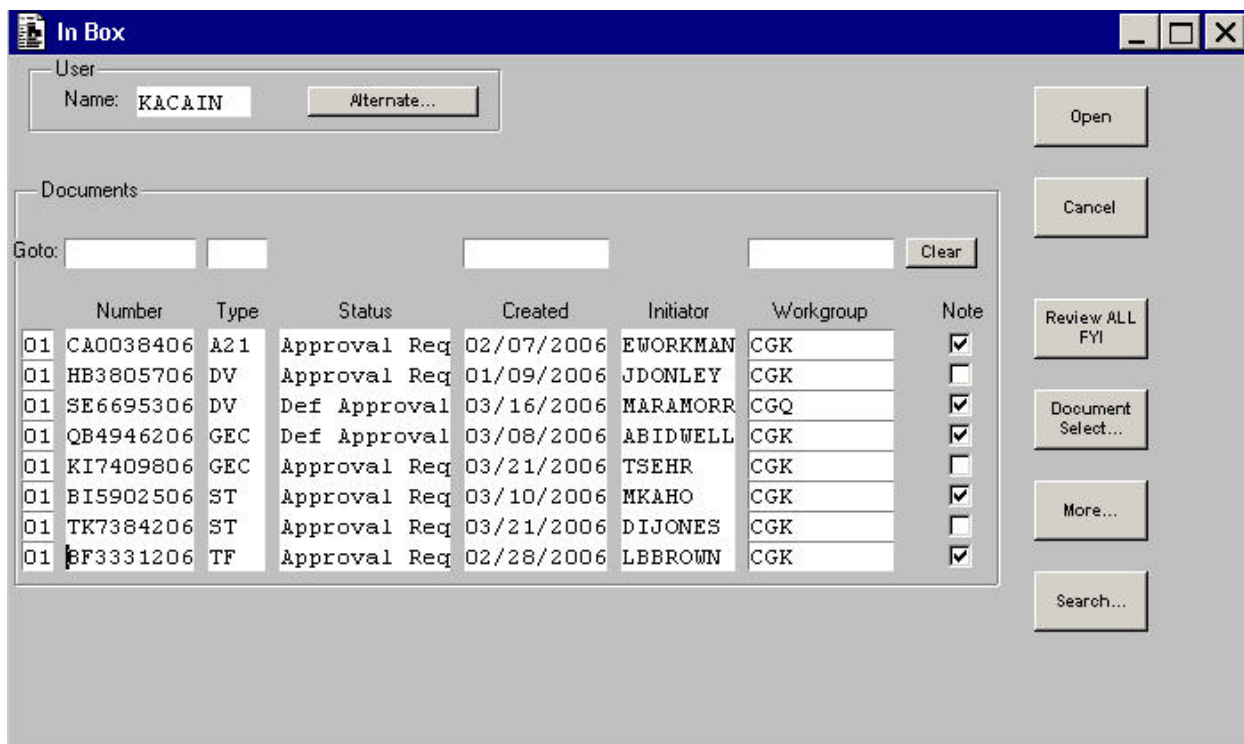


Checking Your In Box

If the *In Box* icon is red this means that there are documents in your in box awaiting action.



Click on the *In Box* icon to bring up a screen similar to the one displayed below. The *In Box* screen lists all of the documents in your in box awaiting your action.



***In Box* Features**

The *In Box* screen gives you basic information about the documents sitting in your *In Box*. For, example, you can tell:

- the document number
- the document type
- the status of the document
- the date the document was created
- who initiated the document
- whether there is a note attached
- whether the document is being reviewed by a workgroup

Basic Navigation of the *In Box*



The *Open* button provides access to documents listed in the *In Box*. Place the cursor on the same line as the document you wish to retrieve and click on *Open*.



Clicking on the *Cancel* button takes you back to the *Welcome* screen.



Clicking on the *Review All/FYI* button will review all of your FYI documents in your inbox and those not displayed

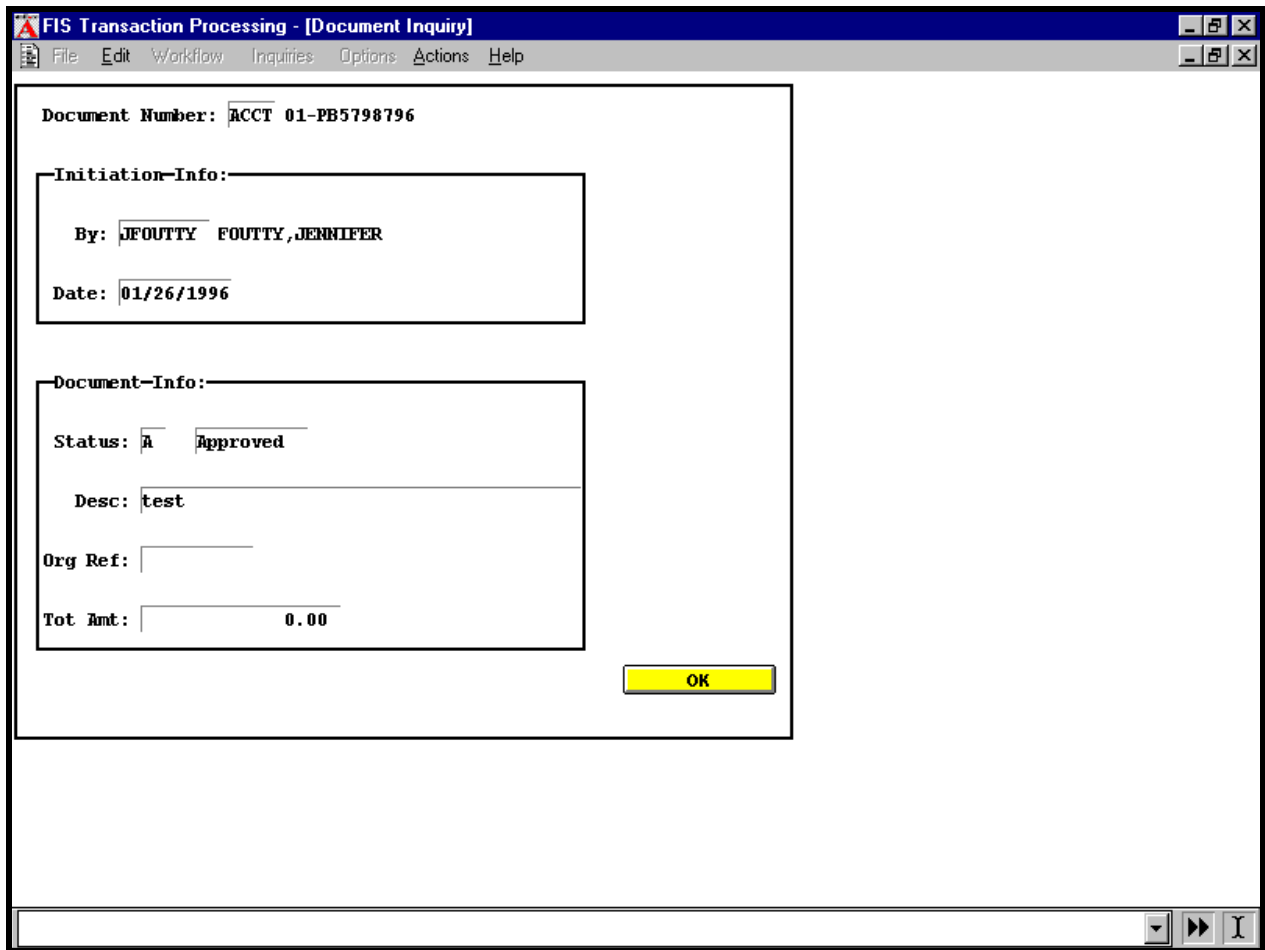


Clicking on the *Document Select* button brings up the *Document Group Selection* screen. This allows you to begin the process of creating a document without canceling out of the *In Box* screen and without using the *Enter TP Document* button to pull up the *Document Group Selection* screen.



There may be times when you want to see more information on a particular document displayed on the *In Box* screen without actually pulling up the document to view it. Placing the cursor on that document number and then clicking on the *More* button brings up the *Document Inquiry* screen (*see next page*) which displays the following information:

- document number
- document initiator
- date created
- status
- description
- organizational reference
- total document amount



Clicking on *OK* takes you back to the list of *In Box* documents.



The Search Button

Clicking on the *Search* button brings up the *Document Search* screen. The use of this screen is illustrated in the next section of this document, "*TP Search Procedures.*"

Alternate... **The Alternate Button**

Displayed in the "User" section in the upper left corner of the *In Box* screen you will see your User ID and the *Alternate* button next to it.



Click on the *Alternate* button.

You should now see the *Alternate Names* for whom you assigned in a pop-up window displayed on your screen.



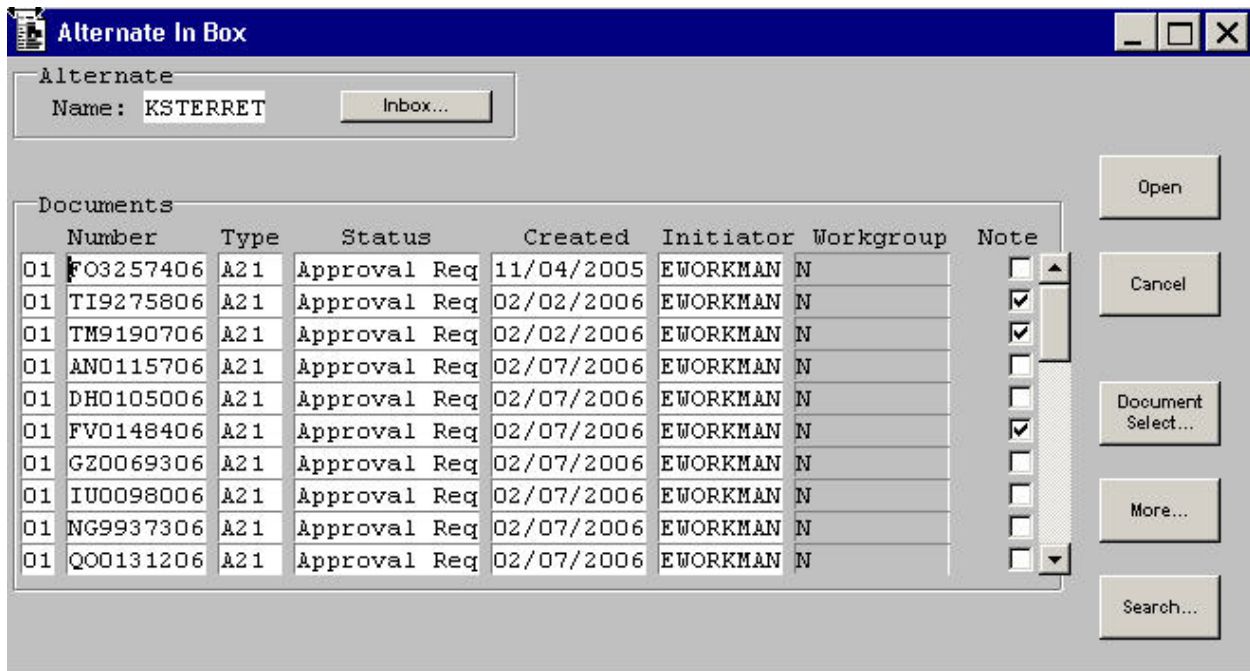
This window displays the User IDs of the person(s) for whom you are a delegate or who are delegates for you. Delegates are designated by the Fiscal Officer to take action on his/her behalf during times when he/she is unable to do so.

There are two types of people authorized by fiscal officer's to act on his/her behalf: delegates and primary delegates. Primary delegates automatically receive documents in their in boxes that the fiscal officer wants them to take action on. Delegates must go into the fiscal officer's in box in order to take action on documents.

Click on the *OK* button.



You should now be looking at the *Alternate In Box* as displayed below.



This window displays all of the documents awaiting action by you as a delegate to the fiscal officer. Should you wish to view or approve a document, you would double-click on it. For now, this exercise calls for you to go back to your in box.



Click the *In Box* button in the "Alternate" section of your screen (top left), or the *Cancel* button to return to the *In Box* screen.

Taking Action on a Document in the *In Box*

When you have created documents and saved them to your inbox, or when a document has been routed to you, it is possible to look at an existing document and take action on it using the "Workflow" function.

Workflow

Workflow
A pprove R eview Complete R oute
D isapprove D efer C ancel Document F orward
N otes
T emplate E rror Correction

Once you have opened a document in your inbox, the "Workflow" function of the menu bar allows FIS users to take a series of actions on a document. The most common actions FIS/TP users will perform are forwarding, adding notes to, making templates from, and correcting existing documents. Some actions, like approving and disapproving can only be done by those to whom a document is routed (such as fiscal officers and their delegates). Other actions, like deferring and canceling documents can only be performed by those who have been designated as part of the approval routing hierarchy. Many FIS/TP users will **NOT** be able to approve or disapprove, cancel or defer transactions. The following sections, however, describe how these actions are performed utilizing the "Workflow" function.

Approving a Document

To approve a transaction, an approver would:



Click on "Workflow." Then:

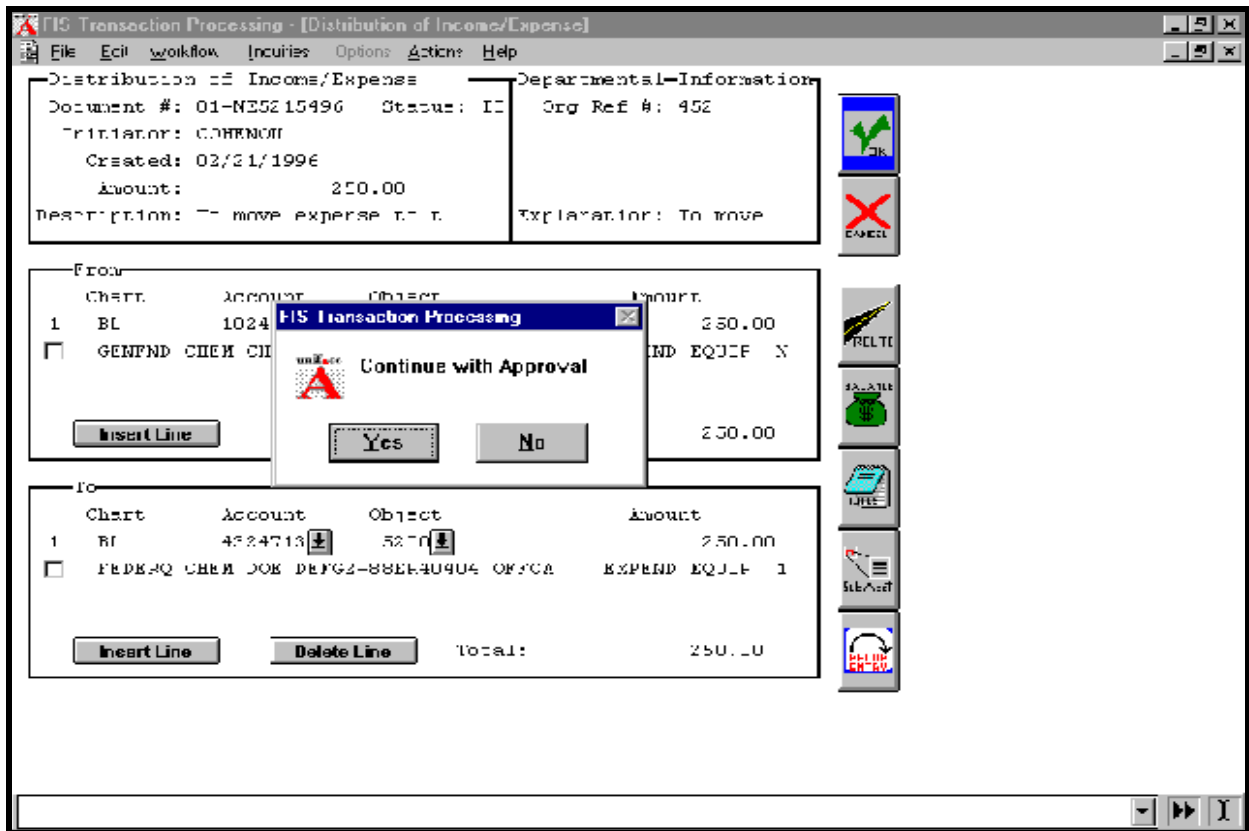


Click on "Approve."



Workflow
A pprove Review Complete Route
D isapprove D efer Cancel Document F orward
N otes
T emplate E rror Correction

A pop up window would appear on the document screen giving the following command (*below*):



Clicking on the "Yes" button would automatically approve the document, and a message would appear at the bottom of the screen telling the approver that "Document XXXX has been approved successfully."

Disapproving a Document

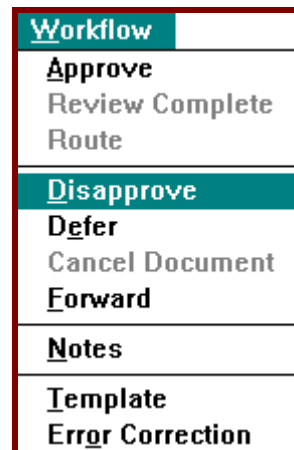
To disapprove a document, an approver would:



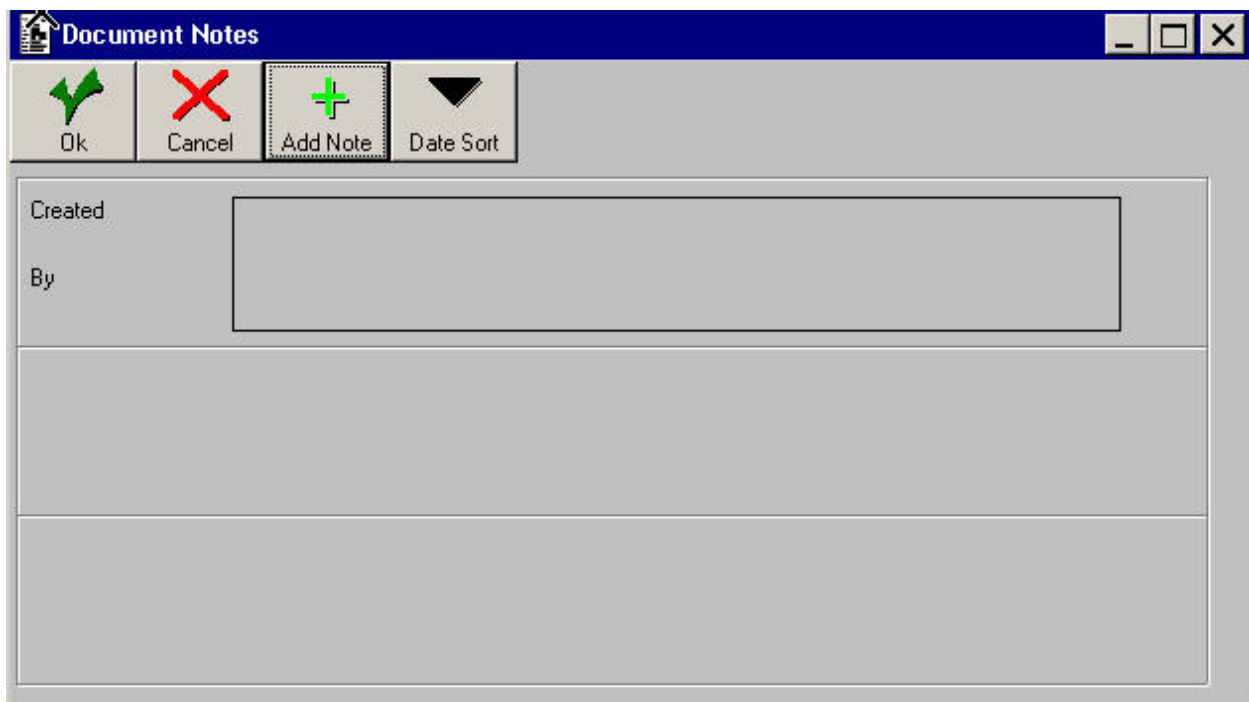
Click on "Workflow." Then:



Click on "Disapprove."



A screen would then appear asking the disapprover to attach a note explaining why the transaction has been disapproved. (See p. for further information on "Attaching a Note to a Document").



A note is attached by clicking on the "Add Note" button. An expansion window will open, and the person disapproving the document would then type in the reason for disapproval.



The person disapproving the document would then click on the *OK* button on the expansion window, then click on the *OK* button on the "Document Notes" window.

After the person disapproving the document has clicked on *OK*, the "Notes" icon (on the document screen) will appear red to the people the document is routed to. This indicates that there is a note attached to the document. Clicking on the red icon will (in this case) show the reason for the disapproval by bringing up the attached note.

(NOTE: When disapproving a document you **MUST** attach a note.)

Deferring a Document

If you wanted to set aside a document for later review (for example, if you wanted to send the document to someone outside of the normal routing hierarchy and await their reply), you could defer the document until a later time.

You can defer a document **ONLY** if you are part of the approval routing hierarchy. To defer a document you would:



Click on "Defer" in the "Workflow" menu.

Workflow
Approve Review Complete Route
Disapprove Defer
Cancel Document Forward
Notes
Template Error Correction



You would then be taken back to the *In Box*. The document's routing status will change to "Approval Def." The status as it appears on the document itself will remain the same. (See also the "Save" function on page 32.)

Canceling a Document

Workflow
Approve Review Complete Route
Disapprove Defer Cancel Document
Forward
Notes
Template Error Correction



The "Cancel Document" function allows a user who is part of the approval hierarchy to cancel a document that has not yet been approved. This function can be used, for example, if a user initiates the document and then realizes that a mistake has occurred in creating it, or if the document's information has changed. Alternatively, the user may give initial approval to a document and later decide that the document should not be approved.

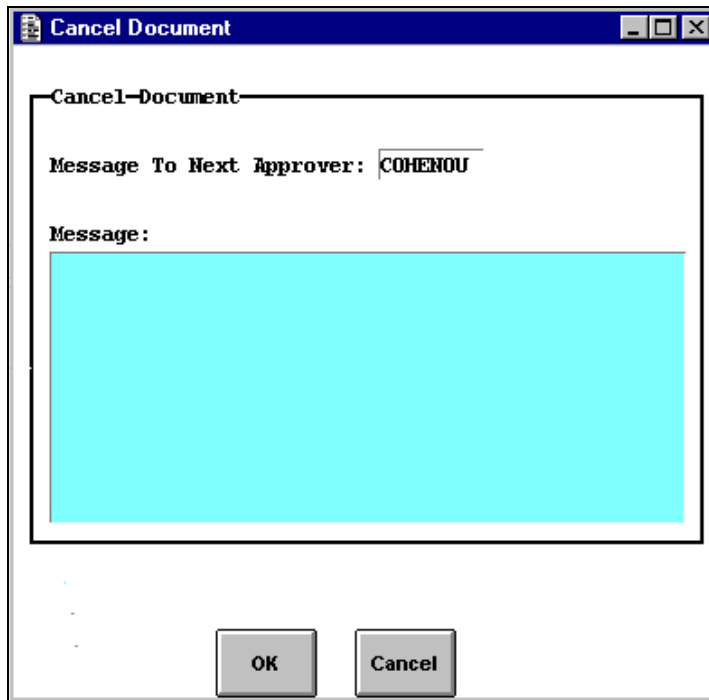
To cancel a document, the user would:



Click on "Cancel Document" on the "Workflow" menu.

If the document had an "I" ("In process") status, the "Cancel Document" function would automatically change the status to "C" ("Canceled"). If the document had a "P" ("Pending") status, a message would appear at the bottom of the screen: "To Cancel Document in route, you must send a message to the next Approver."

The following window would appear:



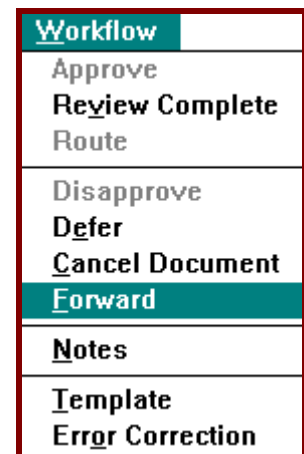
The message should inform the next approver that the user recommends that the document be disapproved, stating the reason. After the message has been entered, the user would click on *OK* to send the message to the next person in the routing hierarchy. Another message at the bottom of the screen would then read: "Message saved successfully." This informs the user that the message has been sent to the person next in line in the routing hierarchy.

Forwarding a Document

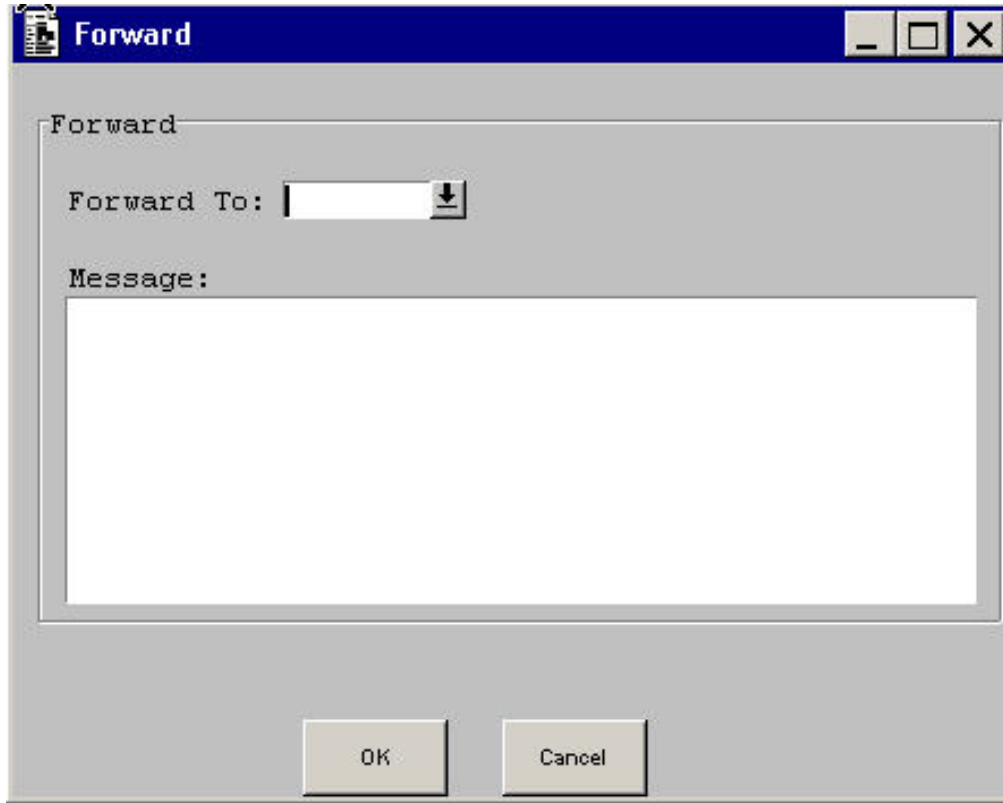
Documents are forwarded through a pre-established routing hierarchy after they are created. It is also possible to forward a document to someone who is not a part of the routing hierarchy. For example, if a document has been routed to you as part of the approval hierarchy, but you have a question about the document that can best be answered by someone outside of the routing hierarchy, you can send it to that person along with a message explaining the reason. To forward a document, you would:



Click on "Forward" in the "Workflow" menu.



The following window would then appear:



In the "Forward To" field, you would enter the User ID of the person to whom you wish to forward the document. Then you would:



Tab into the "Message" field and type in the message you wish to forward with the document. To send the message you would:



Click on the *OK* button.

You would then be returned to your document. A copy of the document would be forwarded to the person you had designated, along with the message you included for him/her. Only the person whose User ID has been designated will see the message. At this point you could either give your approval to the document by clicking on *OK*, or click on the *Cancel* button to save the document until you receive a reply to your message.

(NOTE: The "Route," "Template" and "Error Correction" features of the "Workflow" menu will be discussed in the next section, "*TP Search Procedures*").



To recap. In this section you learned:

- how to navigate through the *In Box*
- how to use the *Alternate*, *Document Select*, *Search* and *More* buttons
- how to select an existing document through the *In Box*
- how to take action on a document using the "Workflow" menu bar, specifically how to approve, disapprove, defer, cancel and forward a document

In the pages that follow you will learn how to use the search procedures within TP.



TP Search Procedures

There are a number of ways to find a document in the Transaction Processing system using the various search procedures.

From the *Welcome* screen:



Click on the *Search for Documents* button to bring up the *Document Search* screen displayed below.

Doc#	Org Ref	Type	Created	St	Initiator	Approve Date	Amount
------	---------	------	---------	----	-----------	--------------	--------

From this screen you can find any document in the system based on the search criteria you enter. For example, you can find the document you entered into the system earlier based on: document number, date created, initiator ID, organization reference number, document type, status, dollar amount, description, and approved date.

(Note: If you do not remember the proper document code you can double-click on the "Type" field to bring up a window where you may search for the appropriate code.)



You know that you initiated the form, so *Tab* into the "Initiator" field and type in your User ID.

Since you know that the document was a *General Error Correction*, *Tab* into the "Type" field and enter:



GEC

You also know that the amount of the document was \$500, so *Tab* into the "Amount" field and enter:



500



Click on the *Search* button.

Your screen should now look like this:

The screenshot shows a window titled "Document Search" with a search criteria section and a search results table. The search criteria include Doc Number, Create Date, Initiator (KBRAND), Org Ref No, Type (GEC - General Error Correction), Status, Amount (500.00), Description, and Approved Date. The search results table lists two documents:

Doc#	Org Ref	Type	Created	St	Initiator	Approve Date	Amount	
01	KX7994503	GEC	06/11/2003	A	KBRAND	06/13/2003 16:44	500.00	
			Move expenses to correct account					
01	TQ1534103	GEC	06/27/2003	A	KBRAND	06/27/2003 13:26	500.00	
			Incorrectly moved expenses					

If you had initiated several similar documents and weren't sure which document was the one you were looking for, then bringing up each individual document until you found the correct one might be time consuming. Searching for a particular document can be simplified by finding out a little more about each of the documents listed. You can check information about each document without actually bringing the document onto the screen. To do this use the scroll bar on the right side of the screen to scroll through the search results until you find the correct document, the description of each document appears below the document.

Checking the description of an individual document, without actually bringing up the document itself should allow you to find the document you are searching for more quickly. When you have found the *General Error Correction* document you initiated earlier, place your cursor on the document number field, and:



Click on the *Open* button, or



Double-click on the document number.

You should now be viewing the document you initiated earlier. This document will be used for some of the exercises in the next section so please keep it on your screen for the time being.

Other Important Features of TP



Using the *Route* Icon

You can check to see where the document you are viewing is in the routing process.



Click on the *Route* icon to bring up the *Document Routing Log*.

At the *Document Routing Log* you can check to see:

- who has been notified that a document is awaiting their action
- when they were notified
- who actually took some sort of action
- when they took action
- the status (what kind of action has been taken, if any)
- if the person who took action was part of a workgroup

Once you have gathered the information you need from the screen:



Click on the *OK* button to return to the document.

Using Ad Hoc Routing

Ad hoc routing allows you to put individuals in the routing chain who may not be in the system's default routing hierarchy. Using ad hoc routing allows you to add individuals on a one-time basis, only for the document you are routing when you specify the additional individuals. You can activate ad hoc routing via the "User Profile Options" screen located under "Options" on the menu bar.

Check-to-Activate	Default-Values
Field Edit Check: <input type="checkbox"/>	Chart of Account: []
Go Directly to Inbox: <input type="checkbox"/>	Account Number: []
Repeat Document Entry: <input type="checkbox"/>	Document Group: []
Repeat Document Inbox: <input type="checkbox"/>	Inbox Sort Order: []
Adhoc Routing: <input type="checkbox"/>	

Buttons: Set for This Session Only, Save User Profile, Return

Ad hoc routing features include:

- ad hoc routing entries can be established by an initiator or any subsequent approver
- ad hoc routing entries can be set as approval or review
- ad hoc routing entries may be accompanied with a note

- once all ad hoc routing is complete, the document routing will continue through the pre-defined routing chain

To use ad hoc routing:

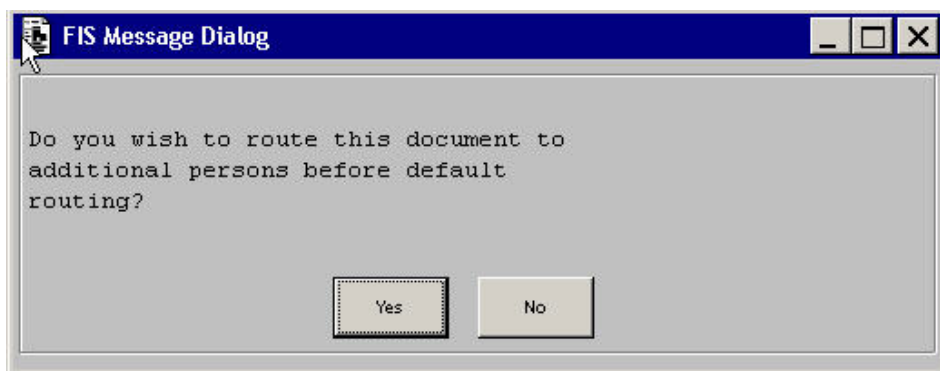


Click on the *Ad Hoc Routing* box to activate ad hoc routing.

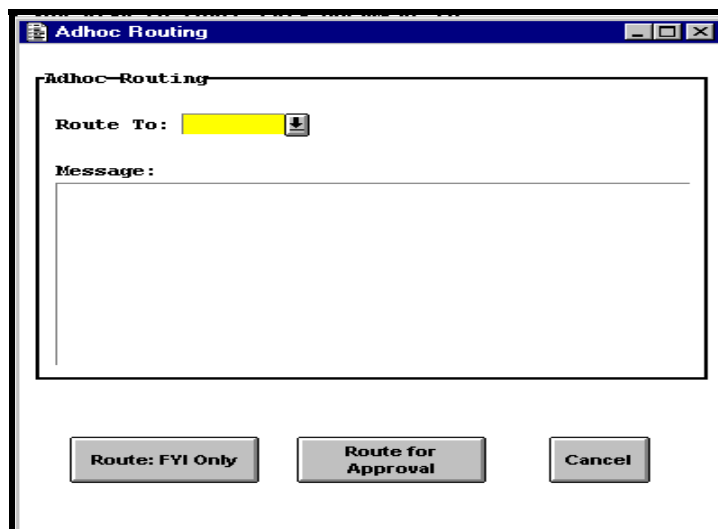


Click on “Save Setting” to activate ad hoc routing permanently, or “This Session Only” for ad hoc routing during your current FIS/TP session only.

You will see the message “**User Profile Successfully Updated**” at the bottom of your screen. Once ad hoc routing is activated, and you OK the document on your screen, you will see the following FIS message dialogue box:



Clicking on “Yes” will bring up the ad hoc routing screen. You can then route the document FYI only, for approval, or you may cancel. If you route the document you should include a note to the person indicating your purpose in including him/her in the routing process (next page).



Using the "Template" Function

The "Template" function is an important feature of TP. If you wish to create a new document like the one you are currently viewing, but want to change the account, object code or the amount information:



Click on "Workflow" in the file menu.



Click on "Template."

The system will generate a new document containing the same information as the old one. However, the new document has a new document number assigned to it.



Tab into the "Account" field in the *From* section.



Remove the existing data with the *Delete* key.



Type in the account number: **6621100**.



Tab into the "Amount" field. Delete the old data and enter: "\$1000."



Tab into the second account line in the "From" section and delete it using the *Delete Line* button. Then:



Tab into the "Account" field in the *To* section.



Remove the existing data with the *Delete* key.



Type in the account number: **6622400**.



Tab into the "Amount" field of the *To* section. Delete the old amount and enter: "\$1000."

By following these steps, you will have successfully created a new document with new account numbers and a new amount. This new document is now ready to route. A message at the bottom of the screen should read: "Press *OK* to Save and Route document." (If the message does not appear, you can still proceed).



Click on the *OK* button.

Your new document will be saved and routed with the new document number and the new additions. Your original document will return to the screen.

Using the "Error Correction" Function

The "Error Correction" function allows you to correct documents by reversing the original transaction. This feature can **ONLY** be used on documents that have completed the routing process and have been **APPROVED**.

To perform an error correction on a document, (note: the error correction must take place in the current fiscal year), search for the document and open it. Then you would:



Click on "Workflow" in the file menu.



Click on "Error Correction."

The system will generate a new document for you that looks exactly like the original document with THREE exceptions:

- all the figures in the "Amount" fields will be preceded with a minus sign
- the new document will have a new document number
- the "Description" field will read: "Reversed entries to: XXXX."

(NOTE: *Do not change the description! The system is building an audit trail by referring to the original document number.*)

At the bottom of the screen the command will appear: "Press OK to reverse entries."



Click the *OK* button.

A pop-up screen will appear with the words: "Reversing entries: continue with this operation? Yes or No?"

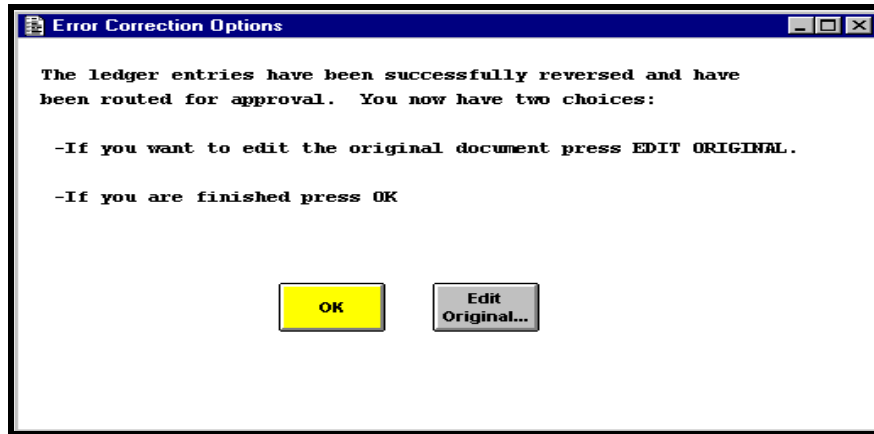


Click on *Yes*.

The system will then automatically route the new document reversing the original transaction. The reversed transaction will be entered as a pending ledger entry. A note will be added to the original document stating that it has been reversed.

In addition to reversing an erroneous transaction, the "Error Correction" function allows you to correct specific problems or errors in a document. For example, the wrong object code or account number may have been entered on the original document.

After the original transaction has been reversed using the "Error Correction" function, a screen will appear which provides you with two options you can take.



To correct a wrong object code:

Click on "Edit Original." The system will generate a new document identical to the original. It will have a new document number and the description field will read, "Correction to: xxxx". (Do not change the description! The system is building an audit trail by referring to the original document number.)



Tab into the "Object" field in the *To* section of your document.



Remove the existing data with the *Delete* key.



Enter a new object code into the "Object" field.



Remember: If you enter an invalid object code, you will get an error message and a screen will appear requesting that you fill in the proper code.

You have now made the correction and are ready to save and route the document.



Click on *OK* to save and route the document.

The new document has now begun its trip through the routing process. After completing all of the above transactions, THREE documents will have been created in all, each with a separate document number: the original, the reversal, and the new document with the corrections.



Attaching a Note to a Document

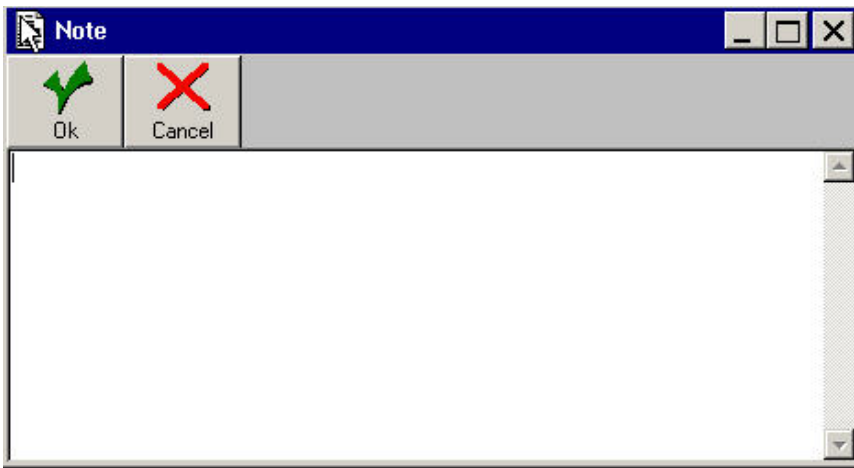
A note may be attached to a document at any time. Once a note has been attached, however, it becomes a permanent record for all subsequent approver/reviewers to see. To attach a note, you must first retrieve the document you wish to attach the note to. Once the document has been retrieved:



Click on the *Notes* button at the right of the screen to bring up the *Document Notes* screen displayed below.



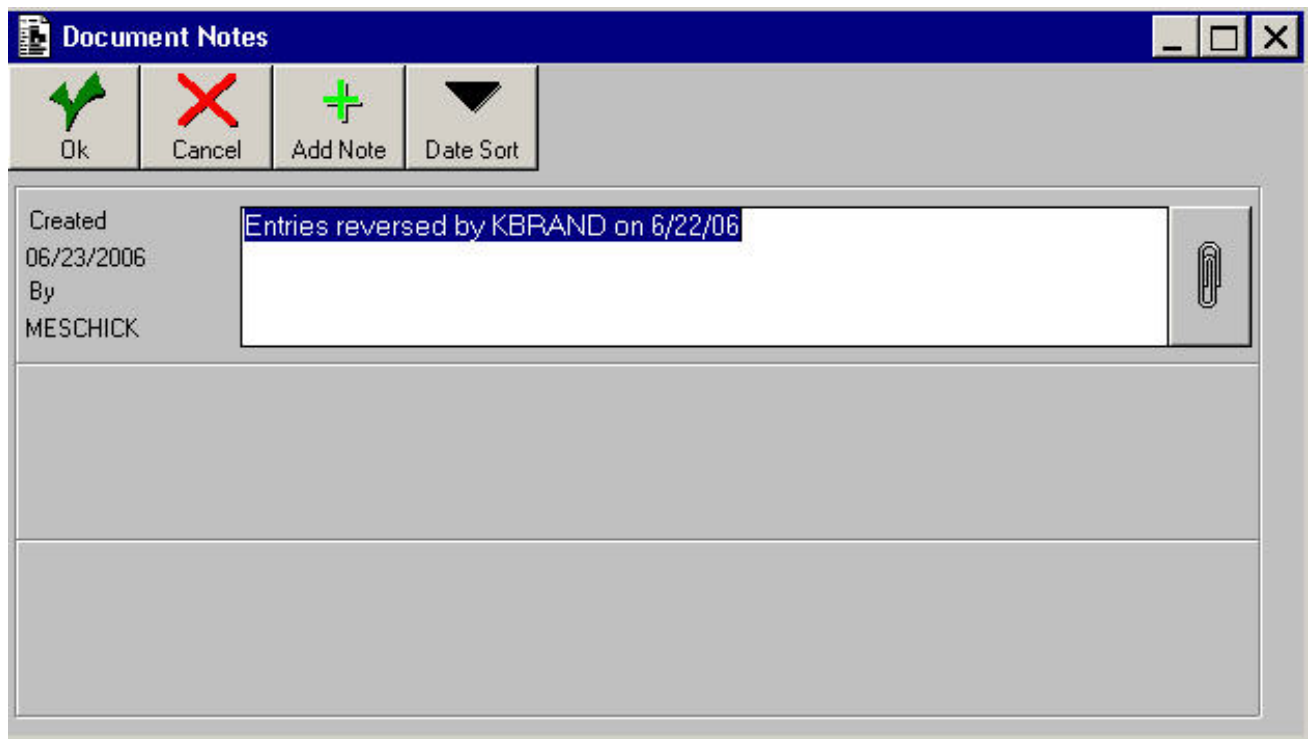
Click on the *Add Note* button to bring up the *note* window displayed on the next page.



Type your note into the *note* window.



Click on the *OK* button.



Your note will be returned to the *Document Notes* screen. Once it appears on the *Document Notes* screen, the note cannot be further edited. If you feel you need to add something to, or delete something from the note, you will have to click on the *Cancel* button and create a new note. Alternatively, if you have already clicked on *OK*, you can create another note at any time to update the first note. The screen will display up to three notes at one time. If more than three notes are attached to a document, a scroll bar will appear on the right side of the screen

allowing you to scroll through the notes. If only part of the note is visible you can view the entire note by clicking anywhere on the note to fully display the *Note* window.



Click on the *OK* button to attach the note and return to your document.

(A reminder: your User ID has been filled in by the system identifying you as the author of the note, along with the date the note was created.)

Creating file folders and placing a Document in a File Folder

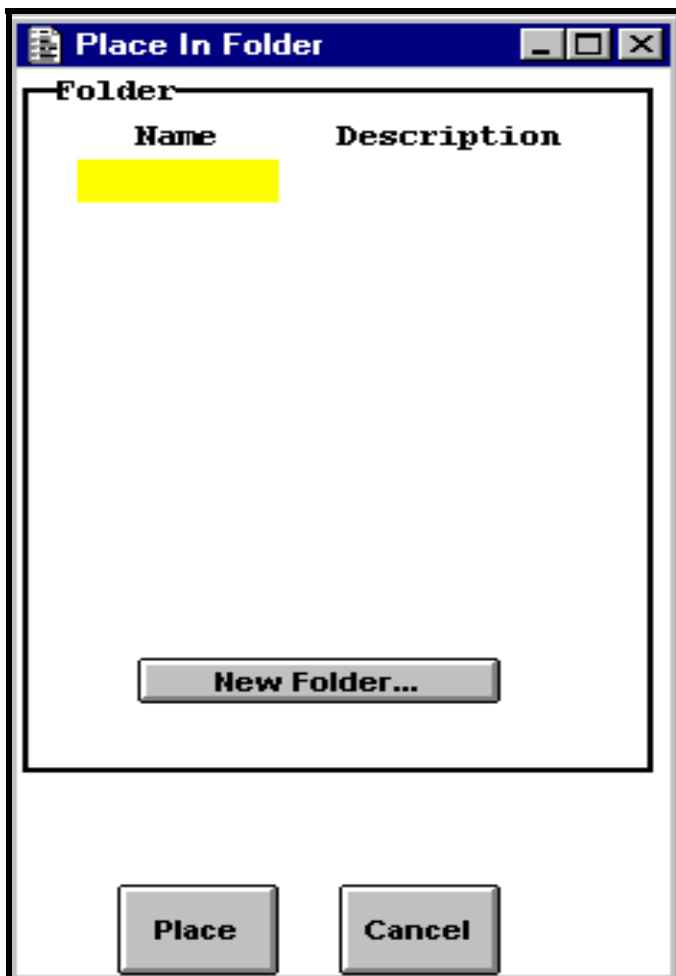
You may create file folders for documents you want to be able to refer to easily. To place a document in a file folder once it has been retrieved from your *In Box* or through a search procedure. To place the document on your screen into a file folder:



Click on "File" in the menu bar.



Click on "Place in Folder."



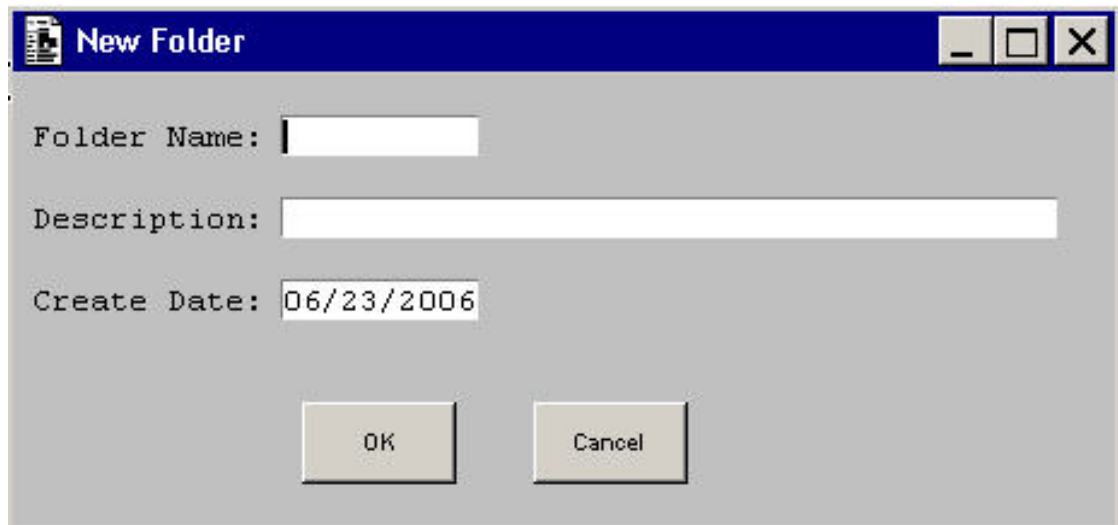
The *Place in Folder* window will appear on your screen.

You must first create the folder to place your document into.



Click on the *New Folder* button.

This will bring up the following *New Folder* window.



The screenshot shows a standard Windows-style dialog box titled "New Folder". It has a blue title bar with a folder icon on the left and minimize, maximize, and close buttons on the right. The main area is light gray and contains three text input fields. The first is labeled "Folder Name:" and is empty. The second is labeled "Description:" and is also empty. The third is labeled "Create Date:" and contains the date "06/23/2006". At the bottom of the dialog are two buttons: "OK" and "Cancel".

Make the following entry into the "Folder Name" field:



TPTrain

Make the following entry into the "Description" field:

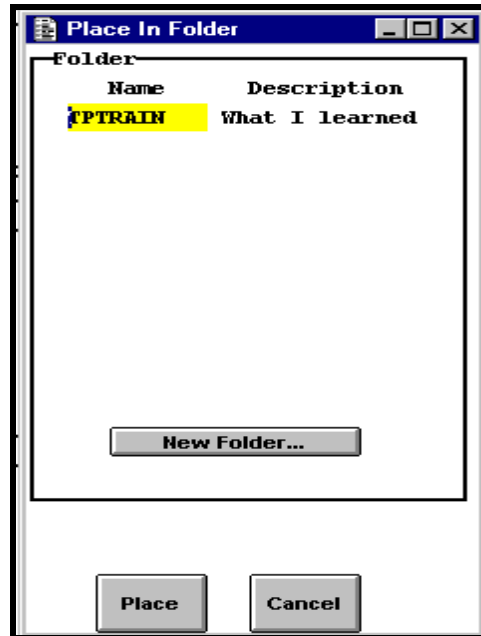


What I learned in TP training

Note that today's date already appears in the "Create Date" field.



Click on the *OK* button to return you to the *Place in Folder* window.



You now have a new file folder called *TPTRAIN*. To place your document in the file folder:



Put your cursor on the file name and click on the *Place* button.

Your document will once again appear on the screen. There will also be a message at the bottom of your document indicating that it has been inserted into your file folder. To find a file folder or a document you have filed, click on the *Find in Folders* button on the *Document Search* screen.

Deleting a Folder or Document in a Folder

Since each file folder takes up space on the server, it is a good idea to delete folders and/or documents you no longer need. In doing so, you can help to optimize the performance of the Transaction Processing system. In order to delete a folder:



Click on the “Document Search” button on the “Welcome” screen.

Doc#	Org Ref	Type	Created	St	Initiator	Approve Date	Amount



Click on the “Find In Folders...” button.

Folder Nm	Description	Created	Doc Cnt
TPTRAIN	What I learned in TP Training	02/12/1996	1

To delete an entire folder and its contents,

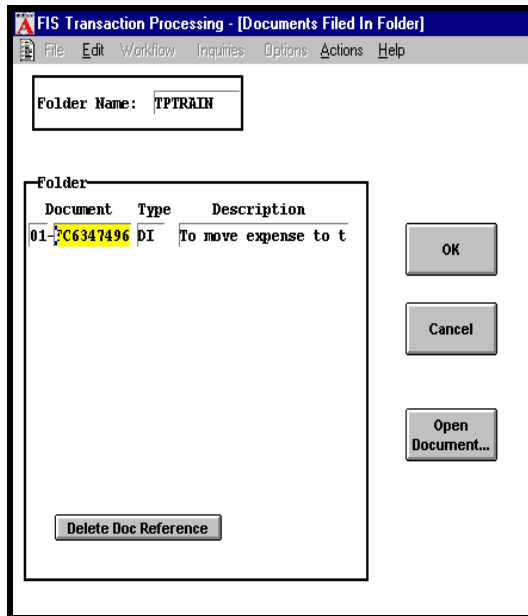


click on the “Delete Folder” button.

To delete a single document,



click on the “Open Folder...” button.



This window displays all of the documents in the folder. Place the cursor on the document you want to delete and



click on the “Delete Doc Reference” button.

NOTE: When deleting folders or documents, you are not deleting the document from the entire system. You are only deleting the copy that is in your folders.

Help

Help

The "Help" function is accessed through the menu bar and is available at all times while you are in the TP system. From whatever screen you are currently in, place the cursor on the menu bar and:



Click on "Help"

A drop down menu will appear with a link to the FMS Home page where you can obtain documentation and training resources, as well as keyboard tips.



To recap. In this section you have learned:

- how to locate a document using the *Document Search* screen
- how to check where a document is in the routing process
- how to create a template from an existing document
- how to reverse a transaction and correct errors in a document
- how to attach a note to a document
- how to place a document in a file folder

A Glossary of FIS and TP Terminology

Account Delegate	An individual assigned by the Fiscal Officer to approve documents on their behalf or in the absence of the Fiscal Officer.
Account Manager	An individual at either the Departmental level or the Responsibility level who manages the accounts.
Accounts Receivable	An FIS component that records future receipts not yet realized by the university (i.e., money owed to the university).
Account Supervisor	An individual at either the Departmental level or the Responsibility level who supervises the accounts ex. Dean of University/Chancellor
C&G Application (Contract and Grant)	This FIS component allows you to record and track information regarding sponsored research program proposals and awards.
CAMS Application (Capital or Fixed Assets Management System)	A component of the FIS that oversees the creation, posting, depreciation and general financial management of institutional assets in excess of \$5000.
Client/Server	The use of one computer to request the services of another computer over a network. The workstation in an organization will be used to initiate a business transaction (e.g., a budget transfer). This workstation needs to gather information from a remote database to process the transaction, and will eventually be used to post new or changed information back onto that remote database. The workstation is thus a Client and the remote computer that houses the database is the Server.

**COA
(Chart of Accounts)**

The basic structure of the account file. This defines the account number and its attributes, as well as the object codes (income and expense classes), and other key elements of the general ledger file.

Document Status

The method of informing the user of current condition of the document within TP. The current status possibilities and their descriptions are as follows:

A = Approved	II = Ad hoc routed by initiator
C = Canceled	PP = Ad hoc routed by acct. mgr.
I = In process	OO = Ad hoc routed by org approver
P = Pending Acct.	RR = Ad hoc routed by special conditions approver
Q = Pending Org	

**DSS
(Decision Support System)**

The term used to describe information access, analysis and reporting technologies and applications for the FIS.

EPIC

Indiana University's Electronic Procurement and Invoicing Center, a system used to create requisitions and purchase orders for your department.

**FIS
(Financial Information System)
Fiscal Officer**

Indiana University's comprehensive financial system implemented in May 1994.

The individual who is responsible for their departments accounts. Most documents will route to the fiscal officer for approval.

**FMS
(Office of Financial Management Services)**

The university administration organization that is responsible for the delivery of a variety of financial services and systems, for all of IU.

**GLE
(General Ledger Engine)**

The term used to describe the general ledger component of the FIS. This is the "official" accounting ledger for the institution's financial business.

Historical Balances

Balances for a point in time (a date) that has passed.

**HRMS
(Human Resource Management System)**

Indiana University's Human Resource and Payroll System.

In Box	Repository in Transaction Processing where documents await action by the reviewer/approver.
Infrastructure Documents	Documents that exist within TP that are used to establish new accounts, sub-accounts, object codes, sub-object codes, projects, organizations, FIS users, workgroups, delegates, review hierarchy, etc. (Chart of Accounts Maintenance Documents)
IUIE	Indiana University Information Environment a reporting system used to gather information for your department. This system contains financial, human resource, student and technical reports as well as other reports.
Labor Distribution System	The module of the FIS which addresses the budget and actual sides of the human resources component of financial systems. This includes positions, appointments, payroll and expense distribution, and effort reporting.
Ledger Entries File	The repository for the accounting transactions (debits and credits) which are the official university accounting (and budget) entries to be audited each fiscal year. They contain the all of the transactions and accumulated balances.
Object Code	A four digit number identifying either an income or expense class. The University tracks income and expenses at the object code level.
OneStart Portal	The application used to support all university systems such as HRMS, Payroll, FIS, EPIC and the IUIE.
Organization	Term used to refer to a unit within the university system such as a department, responsibility center, campus, etc.
Pre-Defined Queries	A set of pre-scripted financial reports that the user may customize for specific reporting needs through the use of parameters. The user requests the query when the information is required, eliminating the wait for a monthly report.
Responsibility Center (RC)	An organization that has ultimate fiscal responsibility for others that report to it.

Routing	The process by which documents move through the FIS for approval and/or review.
Safeword Card	An encrypted security device required for access to the FIS and other university environments ensuring that only authorized personnel can access the information.
Standard Reports	A set of financial reports produced on a scheduled basis without initiation by the end user. They are used for monitoring account or RC conditions and progress throughout the year. Included are such reports as operating statements, balance sheets, and budget vs. actual comparisons, these reports are available via the IUIE Environment.
Sub-Object Code	A code that relates to the university object code and allows for more double-click of income and expense class.
TP (Transaction Processing)	A sub-system of the FIS that will be used for data entry of business transactions.
UTS (University Information Technology Services)	A system-wide computing organization

TP File Menu Options

Below is the standard menu bar for the Transaction Processing system. There are several items on the menu bar, each with its own set of options. Many of these functions duplicate those of the push buttons which appear on most screens in the TP system.



As in any Windows application, the options that are grayed out are not available for use on the screen in which you are working.

File
New
Document Select
Open
Save
Place In Folder
Print
Close
Exit

FILE has a number of document-specific options available as follows:

New--Creates a new document of the same type as the document currently being viewed.

Document Select--Allows a new document to be created (of a different type than currently being viewed).

Open--Allows a document to be located and opened.

Save--Allows the document to be saved without performing all of the edits. If a being worked on and an interruption takes place, the document can be saved using this option, even if it is incomplete or contains errors. (For more on the "Save" function, see page 32)

Place in Folder--Allows for the placement of a document in a folder. Folders may be established by each person using the system as a way of organizing important documents for quick retrieval. (For more on the "Place in Folder" function, see pp. 58-60)

Print--Creates a print image of the document and sends it to a designated printer.

Close--Closes the window currently active on the screen.

Exit--Exits from the Transaction Processing application.

<u>E</u> dit
<u>D</u> etail
<u>C</u> ut <u>C</u> opy <u>P</u> aste
<u>C</u> lear
<u>I</u> nsert Line <u>D</u> elete Line
<u>P</u> revious Line <u>N</u> ext Line

EDIT provides the basic Windows capability of manipulating fields of data, cutting, copying and pasting data from one data field to another.

Double-click--Performs the same function as double clicking on the mouse.

Cut--Allows you to remove selected text or graphics from one document or application and place them into another document or application.

Copy--Allows you to copy selected text or graphics from one document or application and place them into another document or application.

Paste--Allows you to place text or graphics after you have cut or copied them.

Clear--Clears all input that has been entered onto the active window (available on search criteria windows).

Insert Line--Allows for the adding of new lines of information where there are multiple entries for a given piece of information (account distribution lines, data within tables, etc.).

Delete Line--Allows for the deletion of lines of information where there are multiple entries for a given piece of information (account distribution lines, data within tables, etc.).

Previous Line--Allows you to move from one line to the previous line within a scrollable field.

Next Line--Allows you to move from one line to the next line within a scrollable field.

<u>W</u> orkflow
<u>A</u> pprove
<u>R</u> eview Complete <u>R</u> oute
<u>D</u> isapprove <u>D</u> efer <u>C</u> ancel Document <u>F</u> orward
<u>N</u> otes
<u>T</u> emplate <u>E</u> rror Correction

WORKFLOW allows you to take a series of actions on completed documents: to approve them, forward them, add notes, etc.

Approve--Allows the user to approve a document. Any document requiring approval will appear in the *In Box*, and after checking over the document it can be approved by selecting this option. (See pp. 40-41).

Review Complete--Indicates that a document has been reviewed and should be deleted from the *In Box*.

Route--Begins the routing process on your document after the system does all the necessary edit checks, creates pending ledger entries and ensures the document is properly stored in the system.

Disapprove--Displays a window which asks for the reason for the disapproval, if you decide that the document should not be approved. All previous approvers of the document will then be notified that the document has been disapproved. (See pp. 41-42)

Defer--Allows a person doing an approval or review to defer action on a document. The document remains in your *In Box*, but will retain the unapproved or unreviewed status. It will, however, be marked as deferred so that it is apparent that it was looked at previously. (See p. 43)

Cancel Document--Changes the status from "I" to "C" on documents which are still in process. For documents which are pending approval, the "Cancel Document" function requires the reviewer/approver to forward a note to the next approver recommending disapproval. (See pp. 43-44)

Forward--Allows you to send the document to someone who is not normally in the routing process. A common use might be forwarding a document to someone for comments and deferring it until a reply is received. (See pp. 44-45)

Notes--Allows for the addition of notes to the document, or a review of the notes that have already been attached to the document. (See also pp. 56-58)

Template--Allows you to use an existing document as the basis for a new one. The old document should be retrieved and "Template" selected. Instead of an unfilled screen, the system will assign a new document number, initiator ID and date, but will retain all of the other information (accounting detail, and other details) except the routing. The information on the document can then be modified and, when completed, the routing will be set for the new document. (See pp. 52-53)

Error Correction--Allows you to correct a document that has been entered incorrectly. The system creates a new document with a new document number, initiator ID, date, and short description (The short description will be "Correction To Document #XX-XXXXXX"). All financial information is reversed. The error (amount, account or object code) can then be corrected, and the system will create the accounting entries to reverse the original transaction and process the new one. (See pp. 53-55)

Inquiries
Reference Tables
Balances
Labor Distribution
Document Search
Routing

INQUIRIES allows you to inquire about basic information within the system.

Reference Tables--A list of tables that support the application, such as the valid Object Code Table, Object Code Type Table, Campus Table, etc. A table can be selected by double-clicking on the table name.

Balances--Allows you to check the balances for a specific account and/or object code.

Labor Distribution--Allows you to look up Labor Distribution report information.

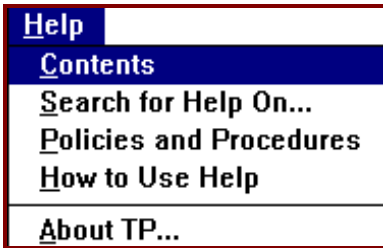
Document Search--Allows you to search for documents or accounts, or to look through your folders.

Routing--Brings up the *Document Routing Log* where you can check to see:

- who has been notified that a document awaiting their action
- when they were notified
- who actually took action
- when they took action
- what the status of the document is
- whether the person who took the action is part of a workgroup



OPTIONS allows the user to set options specific to your user ID with TP.



HELP is available on every screen in TP.

Contents--Takes you to the various types of help available in TP.

About TP--Gives you information about the version of TP you are currently working with.