# SECTION 4: FINANCIAL TRANSACTIONS & BATCH PROCESSING
## Overview

### INTRODUCTION

*Section 4: Financial Transactions & Batch Processing* discusses the format and use of AKSAS financial transaction data entry screens and the use of function (PF) keys associated with the screens. This Section also provides an in-depth description of fields that are common to many AKSAS financial transactions and provides detailed procedures for the maintenance of financial batches and transactions including:

- Starting or restarting a batch.
- Certifying and authorizing transactions.
- Monitoring batch and transaction processing to completion.
- Accessing transactions entered by another RD code.
- Processing an online request to interface agency system batches into AKSAS.
- Setting up and maintaining easytran records.

### Financial Batches

Financial batches provide a means for grouping financial transactions entered in AKSAS to facilitate processing. Each financial batch contains batch header information including the two-character source system ID, the batch number assigned to the batch, and the total number of transactions and total transaction amounts contained in the batch. AKSAS uses the batch header information to ensure all transactions entered in AKSAS are successfully processed and removed from the Transaction Suspense File (TSF) or rejected and retained on the TSF for correction and reprocessing.

All financial batches entered online use source system ID "AA." Financial batches generated by an agency system for interfacing in AKSAS use unique source system IDs to identify the agency system from which the batches originate. When a financial batch is created, AKSAS assigns the batch a seven-digit, sequentially assigned number and assigns each transaction in the batch a four-digit sequence number. AKSAS also defaults the current date as the batch effective date. This date may be changed to a future date by the input user. Certified and authorized transactions are available for overnight processing on or after the batch effective date.

The batch and sequence numbers are used to identify batches and transactions on the TSF that are unprocessed, require certification and/or authorization, or have errored during overnight processing. The batch-sequence number is also used as an identifier for processed transactions.

### Financial Transactions

Financial transactions record financial activity such as open items, warrants, journal entries, vendor records, and treasury activity in AKSAS. Financial transactions are recorded through online data entry or submitted through an automated interface (i.e., provider payments, medical assistance warrants, longevity bonus warrants). All financial transactions are associated with a source document, such as an invoice, contract, delivery order, deposit slip, etc.

After all information for a transaction is entered, AKSAS performs online edits and, if errors are found, displays the error messages online. Errors are corrected online and the transaction submitted for certification and/or authorization. Before processing, all financial transactions must be certified according to certification guidelines established by the Department of Administration. Transactions are reviewed and certified online by authorized certifying officers. Some transactions may also require additional authorization before processing.

Once authorization and certification are complete, the transaction is selected for overnight processing according to the effective date of the batch.

## AUTHORITY

The Department of Administration, Division of Finance is authorized by Alaska Statutes to maintain and control the Alaska Statewide Accounting System (AKSAS).  Refer to *Section 2: AKSAS Security & Authorities* for more information.

## TERMINOLOGY

**Agency System** - A system used by an agency to track and manage the state's resources.

**Alternate Access** - To allow access to transactions entered by RD codes other than the input user.  RD codes authorized to access other transactions are identified on the SMF Alternate Access Table  (SAA) maintained by the Division of Finance.

**Balanced Interface File** - A tape file containing a batch generated by an agency system outside of AKSAS.

**Batch** - One or more transactions grouped together to facilitate processing.

**Batch Number** - A seven-digit, sequentially assigned number identifying a group of transactions.

**Batch-Sequence Number** - Generally refers to the combination of the two-character source system ID (SSI), the seven-digit batch number, and the four-digit sequence number for a transaction.  See **Source System ID**, **Batch Number**, and **Sequence Number**.

**Certification** - An online process by an authorized certifying officer that confirms a transaction is accurate and legal and releases the transaction for processing.

**Certifying RD Code** - An AKSAS RD code identified on the SMF Authorized RD Code Table (SAU) as having authority to certify a transaction for a specific source RD code and transaction code.  Multiple certifying RD codes may be identified for a single source RD code and transaction code combination.  However, only one certifier identified must certify the transaction.

**Control RD Code** - An AKSAS RD code used to control access to the DI - Request AKSAS Interface option on the AKSAS Main Menu.  The control RD code determines the agency systems for which the user can add an interface processing request.

**Default Value** - Field data that is system-supplied when a transaction screen is updated.  For some required data entry fields AKSAS supplies data if the field is left blank.  For example, the Document Number field defaults to the batch-sequence number.

**Dual Authorization** - An online process that provides additional approval for a transaction and authorizes the transaction for overnight processing.

**Dual Authorization RD Code** - The RD code of the individual who must approve a transaction before the transaction can process.  Dual authorization RD codes are identified on the SMF Authorized RD Code Table (SAU) or on the transaction data entry screen.  A single transaction may have up to three authorizers.  If multiple authorizers are designated for a transaction, the transaction must be authorized by each before it can be processed.

**Financial Transaction** - Used to record a specific type of financial activity such as the receipt of revenue,

payment of an invoice, etc.

**Input RD Code** - The AKSAS sign-on RD code of the person performing data entry. Generally, the Input RD and the Source RD codes are the same.

**Interface** - The process by which transactions generated from systems outside of AKSAS are loaded into the Transaction Suspense File. This term is also used to refer to the actual file interfaced.

**RD Code** - An RD (responsibility/distribution) code is a five-digit number assigned to an AKSAS user. An RD code is the identifying number used to sign on AKSAS (input RD code) and to identify a user as the source RD code, certifying RD code, or dual authorization RD code for a transaction. RD codes are also used to identify users for report distribution.

**Sequence Number** - A sequential, four-digit number assigned by AKSAS during data entry to each transaction in a batch.

**Source RD Code** - A five-digit AKSAS RD code identified on the SMF Authorized RD Code Table (SAU) as having authority to record specific transactions in AKSAS.

**Source System ID (SSI)** - A two-character code used to identify the source of a transaction, i.e., AA (entered online), PA (Payroll charges interfaced from AKPAY), etc. Source System ID codes are identified on the SMF Source System ID Table (SSI) maintained by the Division of Finance. Refer to the *Appendix* for a complete list of two-character SSI codes.

**Transaction Code** - A five-digit number used to identify transactions in AKSAS. The transaction code is made up of a three-digit major transaction code and a two-digit minor transaction code. Each transaction major/minor code combination is identified on the SMF Transaction Code Table (STC) maintained by the Division of Finance. See **Transaction Major Code** and **Transaction Minor Code**.

**Transaction Major Code** - The first three digits of a five-digit transaction code. The major transaction code identifies a group of transactions by type. For example, all add warrant requests use transaction major code 310.

**Transaction Minor Code** - The last two digits of a five-digit transaction code. The minor transaction code identifies a specific transaction within a transaction group. For example, an add warrant request for a field warrant is 310-56. For some transactions (i.e., add warrant requests, journal entries), the transaction minor code is entered by the user.

**Transaction Suspense File (TSF)** - A file maintained by AKSAS of all unprocessed or rejected transactions. Users can access transactions on the TSF through the DM - Maintain Batches and DO - Access Other Batches functions available on the AKSAS Main Menu.

## AKSAS TRANSACTIONS

Refer to *Financial Transaction Screens* in this Section for a complete list of AKSAS financial transaction data entry screens.

## REPORTS

Both online and hard copy transaction reports are available. Online lists of errored and unprocessed transactions are available through AKSAS Maintain Batches (DM). Lists of transactions requiring certification are available through Certify Transactions (DC) and transactions requiring authorization are accessed through Authorize Transactions (DA). Hard copy reports of processed and errored transactions are available through AKSAS Report Request Maintenance (RR).

## AKSAS Online Reports

The following selections are available on the AKSAS Main Menu to view, edit, certify, and authorize transactions on the Transaction Suspense File (TSF).

**DM - Maintain Batches** - Used by input RD codes to determine batch status and the status of the transactions within the batch. Also used to resubmit batches for processing and to view and/or correct unprocessed and errored transactions. Refer to *Maintain Batches & Transactions* in this Section for procedures.

**DA - Authorize Transactions** - Used by authorization RD codes to authorize transactions online. Refer to *Authorize Transactions* in this Section for procedures.

**DC - Certify Transaction**s - Used by certifying RD codes to certify transactions online. Refer to *Certify Transactions* in this Section for procedures.

**DO - Access Other Batches** - Used by authorized RD codes to access batches and transactions input by other users. This selection is available as an AKSAS Main Menu selection only if the sign-on RD code is identified on the SMF Alternate Access Table (SAA) maintained by the Division of Finance. Refer to *Access Other Batches* in this Section for procedures.

The following selection is available on the AKSAS Main Menu to add, view, modify, and delete interface processing requests.

**DI - Request AKSAS Interface** - Used by control RD codes to add an interface request online. After the request is online, it can be viewed, modified, or deleted. Refer to *Request Interface Processing* in this Section for procedures.

## AKSAS Hard Copy Reports

**Transaction Index Listing (B30001)** - Provides a list of transactions processed in AKSAS during a specific period. Specific RD codes and lower levels, transaction status, transaction codes, and/or source system ID may be specified in the report request.

**Financial Transaction (FTP) Register (B30003)** - Provides transaction detail for financial transactions processed in AKSAS during a specific period. Report data is requested by specific RD codes and lower levels, transaction status, transaction codes, and/or source system ID. The report indicates the status of the transaction as A (processed successfully), W (processed successfully but contains warning messages), or E (errored). For each transaction, descriptive data and reference and financial line information, including offsetting entries generated by AKSAS, is provided along with any warning and error messages resulting from overnight processing.

**Easytran Records for Source RD [RD #, RD Name] (B23L01)** - Provides a list of easytran records for a specific source RD code. This report is generated weekly by AKSAS for each RD code identified as a source RD in an easytran record. The report includes the easytran number; the transaction code, description, amount, fiscal period code, and COA year entered in the easytran record; the original input RD code and the RD code that last updated the easytran; and the date the easytran was last updated.