2.0 Appendix A – Project Aspire Conversion/Interface Functional Design

ADML ID	**1409**
ADML Description	**FLAIR Warrant Cancellations (works in conjunction with 1406)**
ADML Tech #	

2.1 Description Functionality

Aspire will need to accept batch warrant cancellation files for those agencies using ADML #1406 to send FLAIR warrant payments to Aspire (not yet live on Aspire). A custom process will need to be created to handle this requirement. ADML 1406 should be used as a starting point for this development effort because it has similar functionality and is the process that loads the initial transactions. The new process will need to read the 57 byte TREASURER'S STOP PAY and CANCELLATION RECORD flat file and then process each cancellation in the BNK_RCN_TRAN if the record is not in a reconciled status and thus is in a unreconciled / stop status also it will create the reversing accounting entries to load to FL_JGEN_ACCT_ENT (Both Dr and Cr entries – two accounting entries per void – Except for warrant type 3 which is only updating BNK_RCN_TRAN). This will void the warrant in Aspire bank reconciliation table and reverse the associated cash entries. The TREASURER'S STOP PAY and CANCELLATION RECORD file provides all required information needed to map, populate and successfully process the cancellation that have been loaded to the FL_JGEN_ACCT_ENT (sent by ADML 1406 & ADML 1139).

This interface will be two fold firstly it reads the transaction and ensure that the transaction exists both on the BNK_RCN_TRAN and FL_JGEN_ACCT_ENT(Except for warrant type 3) in a unreconciled status otherwise see error handling section (1.2) secondly it will do updates to the BNK_RCN_TRAN and create new reversal entries on FL_JGEN_ACCT_ENT (i.e. identify the original transaction by warrant number and bank account copy those lines to 2 new lines with the debits and credits reversed.(exception to this being Warrant type 3 - See Warrant Type 3 Section and Stop Payments – See Stop Payment Section)

The Journals created should have the following accounting entries

Cr Unverified Cash (bank account specific)

Dr Verified Cash (Treasury) – Bank Specific

The outstanding allocation detailed (1406 – configuration) should reduce the outstanding warrant pool for cancellation

Cr Cash in Bank (Treasury) – Bank Specific

Dr Outstanding Warrants (Treasury)

ADML 1733 will be responsible for making below accounting entries

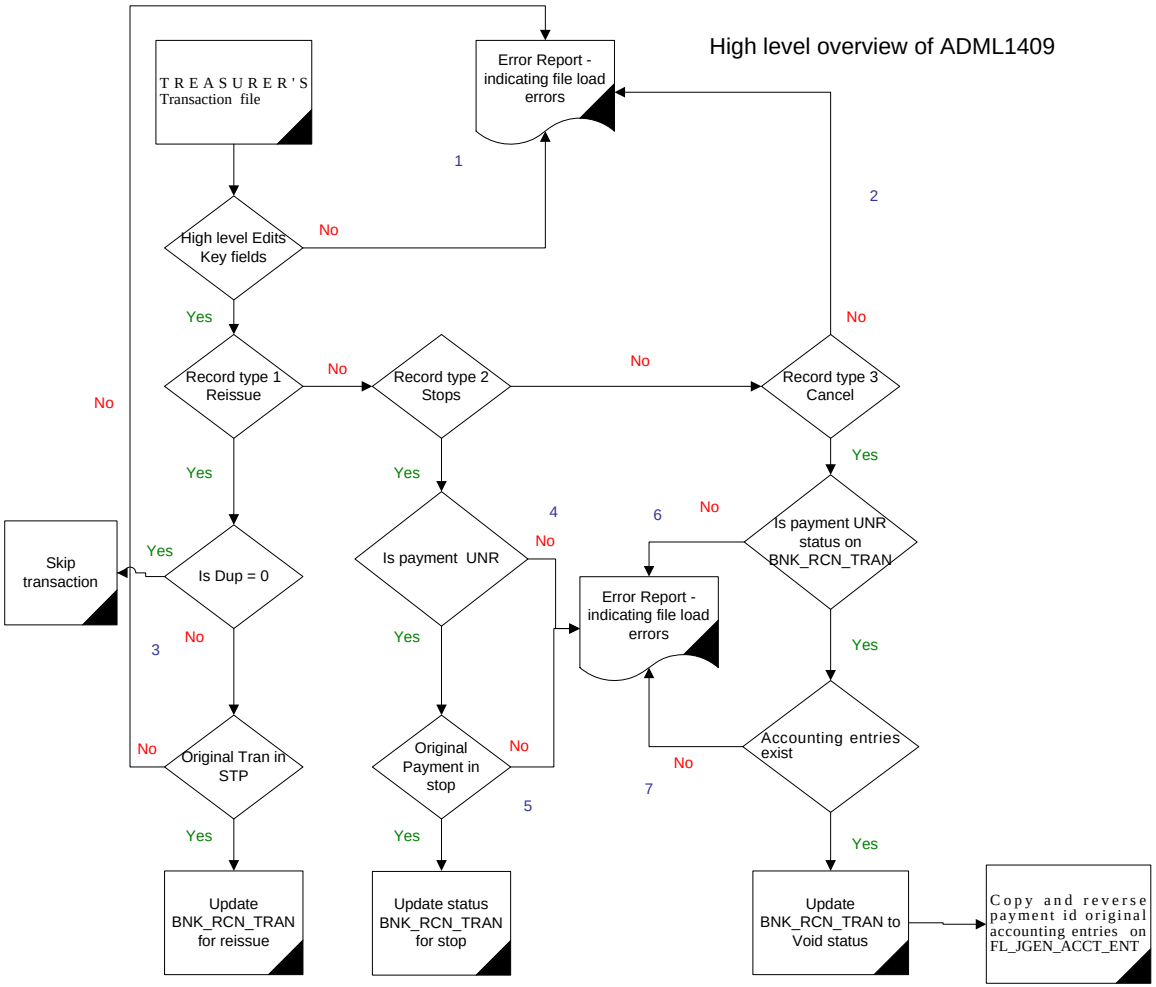
Cr Cash in Bank (Treasury) – Bank Specific

Dr Due to State Funds - Cash

Two lines per Payment id will be created in FL_JGEN_ACCT_ENT – but the journal posted to the actual ledger will be summarized.

Additional configuration will be needed to generate journals from FL_JGEN_ACCT_ENT record. A Separate Accounting Entry Definition will be established see ADML 1406 with a new journal source.

A new Journal Generator Template will need to be created and a new journal source of FLC (Flair payment Cancellation) will be used on this template – with a Line description being Flair Payment Voids.


High level overview of ADML1409
T R E A S U R E R ' S Transaction file
Error Report - indicating file load errors
1
2
High level Edits Key fields
No
Yes
Record type 1 Reissue
No
Record type 2 Stops
No
Record type 3 Cancel
No
Yes
Yes
Yes
No
Skip transaction
Yes
Is Dup = 0
3
No
4
Is payment UNR
No
6
No
Is payment UNR status on BNK_RCN_TRAN
Error Report - indicating file load errors
Yes
Yes
Yes
No
Original Tran in STP
No
Original Payment in stop
No
5
7
Accounting entries exist
Yes
Yes
Yes
Update BNK_RCN_TRAN for reissue
Update status BNK_RCN_TRAN for stop
Update BNK_RCN_TRAN to Void status
Copy and reverse payment id original accounting entries on FL_JGEN_ACCT_ENT

Error Messages per flow chart

Note first level of checking is the header record compared to detail - If header record does not match counts and totals – Then error message stating file cannot be processed due to header record not matching detail record.

1 = Key fields are missing from file (line nbr and fields)

2 = Record type not valid for this interface (Record Type)

3 = Original Warrant (Warrant ID and Status) not in Stop Status

4 = Payment not in UNR Stop cannot be processed for (Warrant id)

5 = Payment (Warrant id) is already in a Stop Status

6 = Payment not in UNR Void cannot be processed for (Warrant id)

7 = Original accounting entries do not exist for warrant (Warrant number) cannot void transaction

Warrant Type 3

For Payroll warrants (i.e. warrant type 3) cancellation will only be affecting the BNK_RCN_TRAN so that voided payroll warrants will not be picked up by the Treasury's bank reconciliation process. The updates to be performed will be as follows providing there is a match on warrant number, warrant issue date and issued warrant amount

BNK_RCN_TRAN.RECON_STATUS = 'VOI'

BNK_RCN_TRAN.RECON_TYPE = 'V'

BNK_RCN_TRAN.RECONCILE_DT = 'Process Date"

Note: Positive pay file (ADML 105) will not be picking up payroll voids, these voids will be handled by Flair Positive Pay process.

Stop Payments

If Flair sends Aspire "Stop Payment" (Record Type 2) the updates will only be performed on the BNK_RCN_TRAN table (No accounting entries will be created.) the updates that need to be performed are as follows

SET RECON_STATUS = 'STP' & RECON_TRAN_CODE = 'S' for that particular warrant

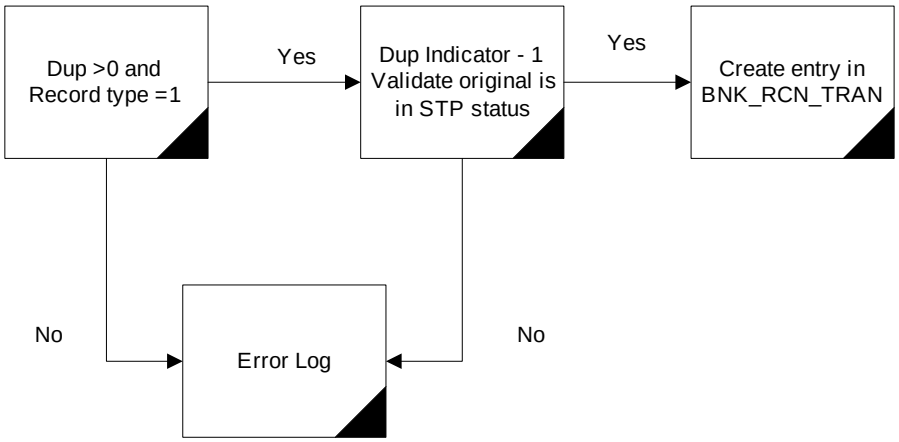
If a record type 1 is sent then the duplicate indicator needs to > 0 for these transactions we will be writing to the BNK_RCN_TRAN for the reissued warrant. (No accounting entries will be created)

Record Type 1 mapping

Reissues (Record type 1) should only come for warrants that are in a STP status (i.e. a stop was send previously (Record type 2)

Note: For all warrant types, Stop payments will be handled in the same manner

To identify if the previous warrants are in a STP Status we need to deduct 1 from the duplicate indicator.



Error Handling

This interface will also have to create an output file to identify those cancellations that were not able to be processed by the program.

If a reconciled transaction BNK_RCN_TRAN table is submitted on the TREASURER'S STOP PAY and CANCELLATION RECORD file then this transaction should be thrown on error report stating "Item (Warrant Type and Warrant ID, OLO) is already in Reconciled Status in Aspire"

If the Transaction does not exist then again this should be thrown in an error message stating that Warrant Type and Warrant ID, OLO does not exist in Aspire bank recon tables used by 1406

If Warrant exists and there is no accounting entries FL_JGEN_ACCT_ENT – Then error should be recorded in log (Warrant Type and Warrant ID, OLO does not exist in FL_JGEN_ACCT_ENT tables used by 1406) – unless the duplicate indicator is <> 0 (embedded in warrant No)

The file should continue to process the records even if the above 2 errors are found with the errors going to appropriate log file.

If key data elements are missing or invalid values on the file then the file should not load those records, load process should not fail rather an error should be written to a log file stating which key data element was missing or invalid.

If the transactions have been reconciled then a manual JE will need to be entered in GL to reverse the accounting entries and corrective action needs to be taken in treasury. (This process cannot void or stop a transaction that has been reconciled on the BNK_RCN_TRAN table

If record type 1 is sent the duplicator indicator >0 – otherwise do not process transaction.

On record type 1 a match is done on the first 9 char of the TRAN_REF_ID and bank account and Tran date and that the Duplicate indicator is greater than 0 on the incoming file and the original tran_ref_id is in STP - otherwise throws an exception

Then 2 rows will be inserted into the FL_JGEN_ACT_ENT for the reissued TRAN_REF_ID (Rows will be same as 1406 rows) and 1 row inserted in BNK_RCN_TRAN with recon status = "UNR"

The expectation is that a void will come in and void the STP at some date in the future and therefore only the reissue has cash impact.

Process instance will be inserted to better track cancellation done by this process

The positive pay flags will be set to X and the positive pay date will be blank

2.2 Scheduling

This will be a nightly batch process (M-F), to load data to the Bank reconciliation and accounting entry tables.

The allocation (for the cash in bank / outstanding warrants entry), Journal generator should also run on a daily basis

2.3 Run Control Parameters

2 separate files are expected one for the Treasurers issues and cancellation record and the other for Treasurers Stop order records. The run control page should be able to handle multiple file processing.

Note that the Treasurers Stop file should be processed first and then the Treasury Cancellation record reissue.

Interface / Conversion Parameters	
Parameters (Required)	*Possible Values (Prompt Table)*
FILE_PATH_NAME1	None
FILE_PATH_NAME2	None
GLBU	

2.4 Unit Test Considerations

- Test run control page. The user must provide a valid UNIX file. Note: This is for development testing only. This will be a batch process not requiring agencies to access the run control page.
- Test server run location. Process should be run on UNIX only.

- Test processing a blank or empty source file.(Positive condition)
- Test processing an invalid warrant number a warrant not loaded by 1406. (Error condition)
- Test processing a warrant number that has already reconciled. (Error condition)
- Test processing a file with valid warrants not reconciled. (Positive condition)
- Process file containing record Type 2 ensure only BNK_RCN_TRAN is effected (Updated status) .(Positive condition)
- Process file containing record Type 1 ensure only BNK_RCN_TRAN is effected with new transaction .(Positive condition)
- Process file containing record Type 3 ensure only BNK_RCN_TRAN and FL_JGEN_ACCT_ENT is effected with reversal of accounting and updates to status.(Positive condition)
- Warrant ID has duplicate indicator = 0 and payment is in REC status on BNK_RCN_TRAN table (Negative Condition)
- Payment is in 'VOI' status and duplicate indicator >0 on new warrant id (Positive Condition)
- Warrant ID exists in 'REC' Status and a cancellation comes in thru cancellation file. (Negative Condition)
- Warrant ID exists and there is no accounting entries on FL_JGEN_ACCT_ENT and a 'void comes in thru cancellation file(Negative Condition)

2.5 Miscellaneous

- Warrant Type on each record on the input file will determine which bank acct needs to be used in the BNK_RCN_TRAN interface.

  Warrant Type 1 = PA

  Warrant Type 2 = Unemp Comp.

  Warrant Type 3 = Payroll

  Warrant Type 4 = Expense.

  Warrant Type 5 = Retirement.

  Warrant type 8 (EFT) will be skipped

- The Warrants being cancelled in the bank recon table only involves one Bank which is Capital City – "CAPC" (BANK_CD_TBL – BANK_CD). The mapping for the bank accounts to the warrant types will be in stored in FL_PAYMENT_MAP.

- Warrant type 8 on either data files will be not processed

- Record type 1 when the duplicate indicator = 0 will not be processed

2.6 Assumptions

- This program will only void transaction submitted in ADML 1406 if those transactions have not already been reconciled.

- Disbursement cancellations in this temporary interface will be processed using warrant type, warrant information and original related accounting entries. The Aspire bank information and payment method information, along with the full payment reference id, which will be derived by the FLAIR information on the TREASURER'S CANCELLATION RECORD file.

- Two source files (TREASURER'S STOP PAY and CANCELLATION AND ISSUE FILE will be provided by FLAIR in a specified UNIX directory.

- Stop will be sent to Aspire from Flair in the TREASURER'S STOP PAY file and CANCELLATION and ISSUES in a second file

- If the transactions have been reconciled then a manual JE will need to be entered in GL to reverse the accounting entries and corrective action needs to be taken in treasury.

- EFT will not be cancelled (Voided) by this ADML – the accounting for EFT transactions will have to be corrected by a manual JE. This ADML only address cancellation of warrants

- AWI & PA will use this interface until they come on to Aspire and cut payments thru Aspire

- Stop payments will only effect BNK_RCN_TRAN

- Reissue of payments duplicate indicator <> 0 will only effect BNK_RCN_TRAN by creating a new entry per new (reissued) warrant

- The files received from FLAIR will need to have Header control records totals for record amounts and counts. The format needs to conform to Aspire Standards. A suggested format could be as follows

```
FIELD DESCRIPTION       LENGTH      POSITION
 -------------------------     ------ ----------------
HEADER RECORD ID           A1 -        1   (VALUE = *)
RECORD TYPE               1N          2  (summarized by record type)
SPACES                     10A         3 - 12
FISCAL YEAR                4N         13 - 16
TOTAL COUNT                7N         17 - 23(total count by record type)
TOTAL AMOUNT               11.2N      24 – 36(total amount by record type)
FILLER
```

Note: Total amount will only be for issues and cancellations (Stop file will not contain totals).

- There should be STP for every duplicate payment i.e. when duplicate indicate > 0.

			Match	This will map to the correct Aspire bank number. Determined from Warrant Type (Mapping record - FL_PAYMENT_MAP)	BNK_RCN_TRAN.BNK_ID_NBR
			Match	This will map to the correct Aspire bank account. Determined from Warrant Type (Mapping record - FL_PAYMENT_MAP)	BNK_RCN_TRAN.BANK_ACCOUNT_NUM
Warrant number	NBR/9		Match	This field will equal the warrant number. It includes the Warrant type, Warrant Number, and Warrant Duplicate Issued.	BNK_RCN_TRAN.TRAN_REF_ID
Warrant Date	NBR/8		Match	Warrant Issued date. This field will equal the warrant date. The format will need to be changed to accommodate PeopleSoft's date format.	BNK_RCN_TRAN.TRAN_DT
OLO			Match		BNK_RCN_TRAN.BUSINESS_UNIT
Amount	SIGN/8.2		Match	Warrant Amount. This field will equal the warrant amount.	BNK_RCN_TRAN.TRAN_AMT
			Status updated to V		BNK_RCN_TRAN.RECON_TYPE
			Status updated to VOI		BNK_RCN_TRAN.RECON_STATUS
			Process Date (Only for Voids)	This will be set to the date the cancellation file was processed	BNK_RCN_TRAN.RECONCILE_DT

The records in the file need to match with the above fields on the BNK_RCN_TRAN before the status will be marked as void and accounting entries reversed.

2.7 Record Layout

Batch totals are expected by record type from Flair for these files, these totals should have record count and total for amount – If either of these batch totals does not match then the file will be rejected. The format for this header record will be addressed in Tech Spec

TREASURER'S STOP ORDER RECORDS (WARRANT STATUS CODE '5') AND CANCELLATION RECORDS (WARRANT STATUS CODE '3') ARE WRITTEN TO A DAILY ISSUE GENERATION.

TREASURER'S CANCELLATION RECORD ISSUE GENERATION FORMAT
(WARRANT STATUS CODE '3')

FIELD DESCRIPTION	PLACEMENT	LENGTH
RECORD TYPE (ALWAYS '3' FOR CANCELLATION)	1	1N
WARRANT TYPE (FROM CWRF01)	2	1N
WARRANT NUMBER (FROM CWRF01)	3 - 9	7N
DUPLICATE INDICATOR (FROM CWRF01)	10	1N
WARRANT ISSUE DATE-2K (FROM CWRF01) (CCYYMMDD)	11 - 18	8N
FLAIR ACCOUNT CODE	19 - 47	29N
ISSUED WARRANT AMOUNT: (99999999V99)	48 - 57	8.2N

RECORD LENGTH		57

TREASURER'S STOP ORDER RECORDS ISSUE GENERATION FORMAT
(WARRANT STATUS CODE '5')

FIELD DESCRIPTION	PLACEMENT	LENGTH
RECORD TYPE (ALWAYS '2' FOR STOP PAYMENT)	1	1N
WARRANT TYPE (FROM CWRF01)	2	1N
WARRANT NUMBER (FROM CWRF01)	3 - 9	7N
DUPLICATE INDICATOR (FROM CWRF01)	10	1N
WARRANT ISSUE DATE-2K (FROM CWRF01) (CCYYMMDD)	11 - 18	8N
DOCUMENT NUMBER (JULIAN DATE)	19 - 24	6N
ACTION CODE ('A' FOR ADD)	25	1A
FILLER	26 - 57	32

RECORD LENGTH		57

Warrant Issue file (Record Type =’1’)

WARRANT ISSUE RECORD - ADDS ISSUE RECORD TO ISSUE FILE

ITEM	FIELD NAME AND COMMENTS	LENGTH	PLACEMENT
01	RECORD TYPE: (ALWAYS '1')	1N	1 - 1
02	WARRANT TYPE: 1 - PUBLIC ASSISTANCE 2 - UNEMPLOYMENT COMPENSATION 3 - SALARY 4 - EXPENSE 5 - RETIREMENT 8 - EFT EXPENSE	1N	2 - 2
03	WARRANT NUMBER: (UNIQUE WITHIN WARRANT TYPE)	7N	3 - 9
04	DUPLICATE INDICATOR: 0 - ORIGINAL WARRANT 1 THRU 9 - DUPLICATE WARRANTS (ALL WILL BE 'D' FOR THE TRANSMITTAL SUMMARY REPORT).	1N	10 - 10
05	WARRANT ISSUE DATE-2K: (CCYYMMDD)	8N	11 - 18
06	SAMAS ACCOUNT CODE	29N	19 - 47
07	ISSUED WARRANT AMOUNT: (99999999V99)	8.2N	48 - 57