



I Error Detection

CALSTARS was designed around Generally Accepted Accounting Principles (GAAP) and modified to conform to State of California legal requirements as prescribed in the *State Administrative Manual (SAM)* and the *Uniform Codes Manual (UCM)*. As a result, every accounting transaction must be recorded following the logical prescribed course of accounting events. There are extensive edits within CALSTARS that provide for accounting accuracy and system integrity. Accounting transactions passing all edits are posted to the CALSTARS master files. Accounting transactions not passing edits may be posted to the master files with a warning message or be rejected and placed in the Error File. Each agency has options regarding the degree to which the system applies certain edits to detectable errors.

This chapter outlines the error correction process, including how errors are identified and classified by CALSTARS, and provides suggestions for correcting errors that are posted to master files after having passed error detection.

Chapter II of this volume contains specific step-by-step instructions for handling error corrections posted to the Error File.

Chapter III describes the Error Correction Data Element Names

Chapter IV describes the use and format of the error and edit code descriptions. Error code descriptions provide a sense of the conditions that cause a transaction to be flagged with an edit or error code, and present some possible remedies.

Following Chapter IV is an alphabetical listing of every error and status code that exists in CALSTARS for tables, accounting transactions, and all system events.

Chapters I, II and III are directed toward correction of accounting transaction errors identified and flagged during the input process, or errors identified later following posting to the CALSTARS master files. However, accounting transaction errors are sometimes caused by table errors or choice of transaction code. Specific directions are also provided for correcting this type of accounting transaction error. Refer to Volume 2, Chapter IV, Table Maintenance, for specific instructions on handling table maintenance transaction errors

ERROR CORRECTION PROCESS (OVERVIEW)

The process for identifying and correcting errors detected during batch processing is assisted by the many edits available in CALSTARS. Prior to beginning the error correction process agencies should perform the Daily Batch Reconciliation (See Volume 1, Chapter XVIII, Daily Batch Reconciliation) from the reports produced in the Input/Edit/Update Process (IEUP). This will insure that all transactions have been identified.

The basic steps of error correction for transactions on the Error File are:

- 1) Review the CALSTARS Edit Activity Error Report to determine what errors occurred and determine the corrections needed;
- 2) Review the External Financial Transaction Preprocessor Report (only produced when external files/batches are submitted) to determine what actions occurred and if any are required to resolve a problem;
- 3) Post the corrections from the Edit Activity Error Report to the Edit Activity Turnaround Report and/or perform table maintenance, if needed;
- 4) Enter the correction transactions from the Edit Activity Turnaround Report in CALSTARS via Command C.3, ENTER ERROR CORRECTIONS;
- 5) When all error correction transactions are complete, print the error activity input report to verify and document the input; and,
- 6) The next day, review the Edit Activity Error Report and other reports, if needed, to verify that corrected items passed the edits and posted correctly.

These steps are fully described in Chapter II, Error Correction Steps.

All errors must be dealt with as soon as possible. Important reasons include:

- ✪ reports may be incomplete or misleading;
- ✪ subsequent transactions may depend on or require the missing data/transaction;
- ✪ processing "windows" may close thus forfeiting the opportunity for timely posting; and
- ✪ reconciliations of SCO accounts with CALSTARS may become complicated.

If the error correction methods described in this Volume do not resolve the error, call your assigned CALSTARS analyst or the CALSTARS Hotline at (916) 327-0100 or CNET 467-0100 or e-mail at HOTLINE@dof.ca.gov.

CALSTARS EDITING OVERVIEW

Table maintenance and accounting transactions are edited at two points in the CALSTARS input process: *on-line* when data is key entered at a CALSTARS terminal or personal computer and during *batch processing* which occurs after the CALSTARS files are taken for processing at the end of the day.

On-line Editing

On-line editing applies to both table maintenance transactions and accounting batch transactions. However, for accounting batch entry, *one of three available edit options* may be selected for each batch using the **Batch Edit Indicator** on the Batch Header. The three options are:

- ✧ No on-line editing of accounting transactions,
- ✧ On-line (table) edits only for accounting transactions, or
- ✧ On-line (table) edits and shadow file posting of accounting transactions (fund control edits).

See Volume 1, Chapter VII, Online File Inquiry, for a discussion of on-line edit options and the shadow files.

Batch Process Editing

All accounting transaction batches are processed during the nightly **Input/Edit/Update Process (IEUP)**. During accounting transaction batch processing, the master table records are used for editing of transaction data elements, followed by master files data for fund control editing. The CALSTARS batch processing cycle and the system programs used to perform the edits and processing of table maintenance and accounting transactions are described in Volume 1, III, CALSTARS System Overview.

For selected error conditions, the level of error severity is maintained through the Organization Control (OC) Table applicable to each fiscal year for which financial data is maintained. The **Error Severity Indicators** may be set to:

- ✧ Post accounting transactions to the master files and ignore (I) errors;
- ✧ Post accounting transactions and simultaneously give warning (W) messages for errors on the error report; or
- ✧ Do not post accounting transactions to the master files, send erroneous transactions to the Error File and give fatal (F) error messages on the error report.

Also see Volume 2, Chapter IV-OC, OC Table, for details on error severity classification and coding.

ERROR CODE CLASSIFICATIONS

There are five classes of errors which are detected by various CALSTARS transaction processing programs. The programs are described in Volume 2, Chapter II, System Processing Schedule and Cycle. Accounting transaction errors are assigned a three-digit code composed of a first-letter (**B**, **E**, **F**, **K** or **W**) followed by another letter and a digit (e.g., EA2, EV6, FD7, WJ8, etc.) or by a two-digit number (e.g., B20, E13, F71, K22, W18, etc.). The first letter denotes the class of error as described below:

B - Batch Errors

Effect: The entire batch posts to the Error File.

This type of error usually involves an incorrect fiscal month, batch amount, transaction count or date. Most batch level errors are detected through the on-line screen edits. However, if the batch is submitted from an external source or the on-line transaction edit is overridden by using the 'F10' key or the batch 'Override-Release' function, batch level errors are reported with a message on the Edit Activity Error Report (CFB800-2) and also on the Edit Activity Turnaround Report (CFB800-3).

E - Fatal Data-Related and Table Look-up Errors

Effect: The transaction posts to the Error File.

Data-related errors occur when data keyed to certain fields of an accounting transaction do not match the same fields of the Document File record referenced by the Reference Document Number. Table Look-up Errors occur when classification data elements of an accounting transaction (e.g., Index or PCA) are not found in the appropriate Table. Edits are against one or more CALSTARS tables. When detecting data-related and table look-up errors, CALSTARS checks the appropriate Data-Related Error Severity Indicator in the OC Table, when applicable, to determine how (or if) the error is posted to the Error File:

If the OC Table Data-Related Error Severity Indicator is **F** (or **blank**), the error is classified as 'Fatal'. The transaction posts to the Error File. It is reported with a message on the Edit Activity Error Report (CFB800-2) and also on the Edit Activity Turnaround Report (CFB800-3).

If the OC Table Data-Related Error Severity Indicator is **W**, CALSTARS reclassifies the error to a **W** series error. The transaction posts to the CALSTARS master files and is reported on the Edit Activity Error Report (CFB800-2) with a warning (**W**) error message. Messages are reported on the CFB800-2 only once.

If the OC Table Data-Related Error Severity Indicator is I, CALSTARS ignores the particular error condition and posts the transaction to the master files with no error message. These transactions are not considered errors and therefore are not reported on the Edit Activity Error Report (CFB800-2) or the Edit Activity Turnaround Report (CFB800-3).

F - Fatal Fund and File Control Errors

Effect: The transaction posts to the Error File.

Fund control errors occur when the posting of an accounting transaction exceeds the available balance in one or more of the master files. File control errors occur when a particular data element or an input transaction does not match an existing record in one or more of the master files. Unless otherwise specified by the Error Severity Indicator in the OC Table, these errors are Fatal. The transaction posts to the Error File and is reported the same as an **E** error, above.

When detecting fund and file control errors, CALSTARS checks the appropriate Fund-Related Error Severity Indicator in the OC Table, when applicable, to determine how (or if) the error is posted to the Error File:

If the OC Table Fund-Related Error Severity Indicator is F (or blank), the error is classified as 'Fatal'. The transaction posts to the Error File. It is reported with a message on the Edit Activity Error Report (CFB800-2) and also on the Edit Activity Turnaround Report (CFB800-3).

If the OC Table Fund-Related Error Severity Indicator is W, CALSTARS reclassifies the **F** series error to a non-fatal **K** series warning error. The transaction posts to the CALSTARS master files and a warning message is displayed on the CFB800-2 report. Messages are reported on the CFB800-2 only once.

If the OC Table Fund-Related Error Severity Indicator is I, CALSTARS ignores the particular error condition and posts the transaction to the master files with no error message. These transactions are not considered errors and therefore are not reported on the Edit Activity Error Report (CFB800-2) or the Edit Activity Turnaround Report (CFB800-3).

NOTE: When the Fund-Related Error Severity Indicator is set to **F**, fund-related Appropriation Control edits may be overridden by more lenient settings found in the Appropriation Symbol and Project Control Tables (code '0 or 2'). Likewise, if the OC Table error severity is set to **I** or **W** for Appropriation Control, any "Absolute" (code '1') settings on the AS or PC Tables are ignored and the transaction posts to the system files as if those table edits were '0 or 2', respectively.

K - Non-fatal Fund and File Control Errors

Effect: The transaction posts to the master files but is reported on the error activity report with a warning message(s).

This type of error involves edit criteria in the OC Table Fund-Related Error Severity Segment and other tables that may override the OC Table. The transaction posts with a 'Warning' message on the CFB800-2 report. Refer to error type **F** for more information.

W - Non-fatal Field and Table Look-up Errors

Effect: The transaction posts to the master files but is reported on the error activity report with a warning message(s).

This type of error involves edit criteria in the OC Table Data-Related Error Severity Data-Related Segment. The transaction posts with a 'Warning' message on the CFB800-2 report. Refer to error type **E** for more information.

CORRECTING ERRORS ALREADY POSTED TO THE CALSTARS MASTER FILES

Inappropriate transaction posting - Some errors are not detectable by CALSTARS edits and allow the transaction to post to the master files because they result from incorrect amounts, FFY, transaction code and/or incorrectly used but genuine table accounting codes. In addition, if the OC Table error severity indicator(s) are set to **I** (Ignore), transactions may also be allowed to post with error conditions. Accounting code errors typically involve PCA, Index, Funding Fiscal Year, Vendor Number, Object Detail and Document Number.

These errors may only be corrected by reversing the previously posted transaction(s) and re-posting the transaction(s) with the correct classification data and/or transaction code (TC). However, the type of data error, as well as the TC originally used determines the method that must be used to make a correction.

1. **Wrong Table code or amount** - Correction of an accounting transaction by Reversing (R) the original transaction in a new batch and reentering the transaction with the correct coding. Do not use TCs that create either *automated* checks or claim schedules, or that post as a liquidation of an encumbrance document. (**Important**: Read items #3 and #4, below, before performing this task.)
2. **Wrong table 'look-up' information within a table code** - Correction requires a table 'Change' (C) of *informational elements* contained in the table. This error correction process is required if the table information was initially incorrect when financial entries posted, followed by a change to correct the table and further transactions posted. This should be a multi-day process so that each step can

be verified with table maintenance and financial input activity reports. Use the following steps:

- a. Inactivate the affected table record(s). The table record should be inactivated to preclude regular accounting transactions from posting during this correction process. When the table entry is changed to 'Inactive', include the changes to the table informational elements step (b.) at the same time.
 - b. Perform table maintenance to change the table back to reflect the values that existed when the original (incorrect) transaction(s) posted.
 - c. Reverse the original transactions that posted with incorrect but accepted information using the 'I' Modifier in the transaction(s). Once the table is changed as it was when the original transactions posted, new transactions should be entered to reverse the erroneous impact. The original entry may be reversed by using the Reverse Code ('R') or different TCs may be necessary. (See item #3 below.) If the original transaction contained an 'R', then leave the Reverse Code blank on the correction. It is recommended that this step be done the second day after confirming table changes occurred as planned,
 - d. Perform table maintenance to change the table to contain the correct information and change the table to 'Active'. Once the impact of the incorrectly posted transactions has been reversed, the table is changed to contain the correct information and activated. It is important to review the results of the table maintenance to ensure that all information is correct. This step is done the third day after step 'c' is successful.
 - e. Reenter the original accounting transactions using the revised tables with the correct data. After all table(s) have been corrected and reactivated, the accounting transactions can be re-posted. When this is done, the transactions will post with the current table information. Any transaction on the Error File accessing these tables will be released now, since the updated table is 'Active' and correct. It is recommended that this step be done the fourth day after confirming table changes occurred as planned.
3. **Automated check or claim schedule error** - Correction of automated processing transactions must use a 'manual' transaction to reverse the original transaction. **Never use a Reverse (R) code with an automated process TC** (e.g., use TC 240 to reverse a TC 231 transaction, use TC 280 to reverse a TC 424 transaction, etc.). Also see item #4 below.
 4. **Liquidating transaction error** - Correction of automated process transactions containing secondary liquidating transactions must use a 'manual' transaction to reverse the original transaction followed by a separate transaction to adjust the document balance. Use TC 240 to reverse a TC 232 transaction, then a TC 212 to adjust the encumbrance document balance, if appropriate. Use TC 242 to reverse a TC 245 transaction, then a TC 212 to adjust the encumbrance document balance, if appropriate.

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