

CalATERS Work Flow and Forms Processing for Help Desk Staff

These instructions provide an overview of CalATERS processes to aid Help Desk staff in assisting Employees, Approvers, Preparers and Submitters who process Expense Reimbursement and/or Travel Advance forms. These instructions can be printed and reviewed prior to assisting with completion of Expense Reimbursement or Travel Advance forms.

Additional instructions for Help Desk staff regarding problem resolution and in assisting with the completion of Expense Reimbursement and/or Travel Advance forms are located on the CalATERS web site.

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I. CalATERS Roles and Responsibilities

CalATERS is a web-based system used to process Expense Reimbursement and/or Travel Advance requests. All CalATERS users including Employees, Preparers, Submitters, Approvers, Accounting Staff, Department Help Desk Staff and Department System Administrators, use this system to perform specific tasks depending on job function. Authority to perform specific functions is limited based on your role.

Help Desk Staff use CalATERS to assist CalATERS users with the completion of Expense Reimbursement and/or Travel Advance forms.

Each person using CalATERS may perform one or more "Roles". For instance, an approver's role is to review and approve forms, however, when they travel and submit claims for themselves, they are acting as an "employee". It is important that the Help Desk know which role a person is performing when answering questions or determining problem resolution.

Role	Responsibilities
Employee	<p>Creates Expense Reimbursement and Travel Advance forms and submits them to their approver (supervisor).</p> <ul style="list-style-type: none"> • Employees update their own Profiles. • Employees can view their Profile information which is attached to the Expense Reimbursement or Travel Advance. • Employees submit receipts and approval documentation to their approver, based on department policy.
Preparer	<p>Creates Expense Reimbursement and Travel Advance forms for other employees, then submits the form to the employee.</p> <ul style="list-style-type: none"> • Preparers can view the employee's Profile information which is attached to the Expense Reimbursement or Travel Advance. • Preparers will require travel data from the employee in order to complete Travel Advances and Expense Reimbursements. • Preparers may validate receipts and approval documentation for the employee, based on department policy.
Submitter	<p>Creates and submits Expense Reimbursement and Travel Advance forms for employees who do not have access to CalATERS or do not prepare and submit their own forms.</p> <ul style="list-style-type: none"> • Submitters can view the employee's Profile information which is attached to the Expense Reimbursement or Travel Advance. • Submitters will require travel data from the employee in order to complete Travel Advances and Expense Reimbursements. • Submitters submit receipts and approval documentation to the employee's approver, based on department policy.

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I. CalATERS Roles and Responsibilities (continued)

Role	Functions Performed
Approver	<p>Approves/disapproves Expenses Reimbursement and Travel Advance forms for the employees that they supervise/manage.</p> <ul style="list-style-type: none"> • Approvers can reduce amounts requested on Expense Reimbursements and Travel Advances. • Approvers can view the employee's Profile information which is attached to the Expense Reimbursement or Travel Advance. • Approvers review receipts and approval documentation, based on department policy.
Accounting Staff	<p>Approves/disapproves Expense Reimbursement and Travel Advance forms for all employees in the department or in a specific area of responsibility, for example, division or unit. Accounting Staff can:</p> <ul style="list-style-type: none"> • Reduce and delete expenses from Expense Reimbursements and can reduce amounts requested on Travel Advances. • Add Specialized Account Codes to Expense Reimbursement forms. • Add taxability and reportability information to specific expenses on Expense Reimbursement forms. • Schedule Travel Advances for recovery on Expense Reimbursement forms. • Create manual Travel Advances on CalATERS that will be recovered from Expense Reimbursements when authorized. • View the employee's Profile information which is attached to the Expense Reimbursement or Travel Advance. • Review receipts and approval documentation, based on department policy.
System Administrator	<p>Performs department specific tasks to ensure the operation of CalATERS. For example, the System Administrator may coordinate and schedule the uploading of department files. Depending on duties, the System Administrator may or may not have access to specific functions within the CalATERS.</p>
Reports User	<p>CalATERS reports are accessible from the  button on the CalATERS web site. There may be one or many reports used by your department.</p>

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I. CalATERS Roles and Responsibilities (continued)

Profile Load File

Each CalATERS user must be added to the department's Profile Load File. This is typically a file maintained in a spreadsheet or database software. The file is modified and sent to the State Controller's Office on an ongoing basis. If a user does not have a record in the Profile Load File, they will not be able to perform New User Registration.

New User Registration

Each CalATERS user must perform New User Registration to activate their user Profile before they can use CalATERS. Instructions for completing this task are available from the CalATERS Home Page by clicking "Get Started".

Privilege Assignments

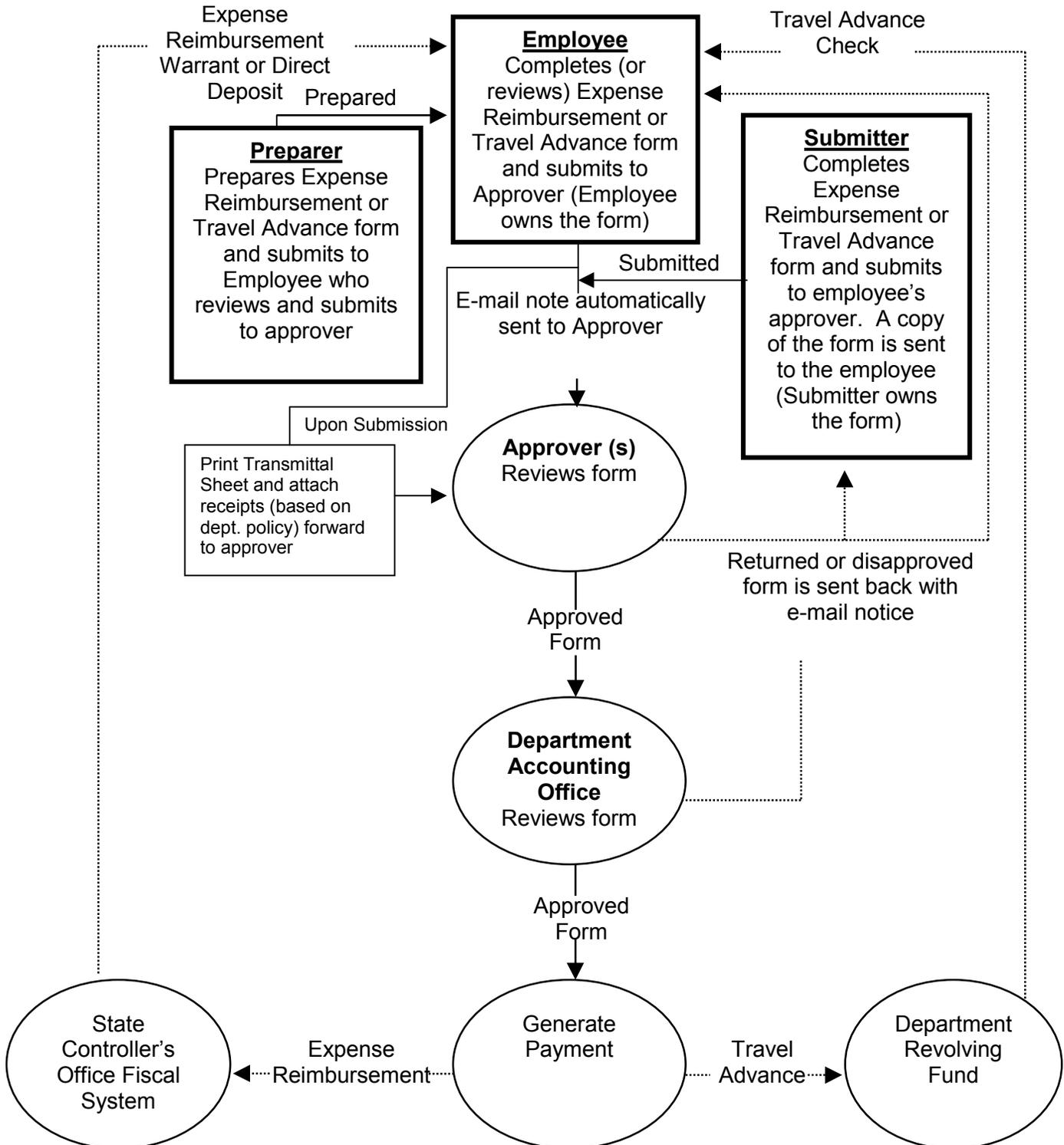
Accounting Staff, Help Desk Staff and others may be given specific privileges within CalATERS. These privileges are in addition to the standard CalATERS access (i.e. the ability to create Travel Advance and Expense Reimbursement requests). Privileges can be the same or unique to each Accounting and/or Help Desk staff, depending on how your department requests privileges be assigned. Access to privileges is maintained by the State Controller's Office, Central System Administrator in conjunction with your department.

Privileges may include access to:

- **Work Pool** allows Accounting Office staff to review, approve, adjust, disapprove and/or return Expense Reimbursements or Travel Advances at the Accounting level.
- **Travel Advance Administration**
 1. Manually enter Travel Advances issued outside of CalATERS to allow recovery on Expense Reimbursements.
 2. Manually enter Travel Advance information during conversion to CalATERS, and when a department does not have an interface between its Office Revolving Fund (ORF) and CalATERS.
 3. Manually clear Travel Advances scheduled for collection when collection has already been secured (check returned, personal payment received).
- **Logon As (Write)** is used to view draft and in-process forms. It can also be used to update another user's Profile, which includes data such as e-mail address, mailing address and default approver. (The "update" capability can be used to update e-mail addresses when user's perform new user registration with an incorrect e-mail address in their Profile, which precludes them from retrieving their CalATERS password.) This privilege would typically be assigned to a Help Desk staff.
- **Logon As (Read)** to view draft and in-process forms and view another user's Profile, which includes data such as e-mail address, mailing address and default approver. This privilege would typically be assigned to a Help Desk staff.
- **CalATERS Reports** provides access to the CalATERS Reporting System.

II. CalATERS Workflow Diagram

Following is an overview of the flow of Expense Reimbursement and Travel Advance forms from creation and submission of the form to payment. Refer to Section III. Forms Processing for more detailed information.



III. Forms Processing

This section describes how Expense Reimbursement and Travel Advance forms are processed. An overview and detailed explanation of each process follows.

Overview

Creating and Submitting Forms

When creating a form, a person acts in one of the following roles:

Employees create forms for themselves and submit forms directly to their approver.

Preparers create forms for employees. When submitted, forms are sent to the employee with a draft status. The employee then submits the form to their approver.

Submitters create and submit forms for employees. When submitted, forms are sent directly to the employee's approver. A copy of the form is sent to the employee.

Reviewing and Approving Forms

Once a form is submitted to an approver, the approver receives an e-mail note indicating they have a form to review. The approver signs-in to CalATERS, reviews the request, adjusts expense or Travel Advance amounts (to a lower amount) if applicable and either:

- A. Approves the form.
- B. Returns the form for correction or additional information.
- C. Disapproves the form.

If approved, the form will be automatically forwarded to any specified additional approver or sent to the Departmental Accounting Office for review. The Accounting Office can adjust an expense or Travel Advance amounts (to a lower amount), delete expenses, add or change account coding information, indicate taxability and reportability of expenses, and schedule Travel Advance recovery. Like the approver, the Accounting Office will approve, return or disapprove the form.

If approved by the Accounting Office, the form will be forwarded for payment. For Expense Reimbursement forms, if the form was designated for pre-payment audit, it will first be approved by the Accounting Office, then reviewed by the State Controller's Office, Division of Audits. An auditor will approve the form, return it to the Accounting Office, or disapprove the form. If the auditor approves the form, it will be forwarded for payment.

Depending on actions taken by approvers, processing steps may vary. You can view where a form is in the CalATERS process by accessing your Work Queue and clicking on the



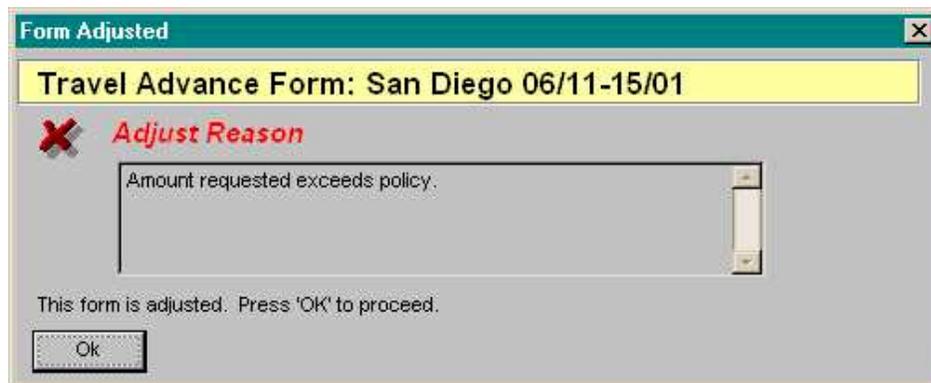
Form Status icon. Specific information regarding the Form Status icon can be found in the Work Queue instructions accessed from the CalATERS web site.

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III. Forms Processing (continued)

Adjusting Forms – when an approver or the Accounting Office lowers an amount.

- 1) The approver or Accounting Office receives a form for review.
- 2) The approver or Accounting Office reviews the form and adjusts an amount lower than the amount requested by the employee (or submitter). The amount cannot be adjusted to an amount higher than originally requested by the employee (or submitter).
- 3) The form is approved and the approver (or Accounting Office) provides an adjustment reason.
- 4) Each time the form is adjusted, an e-mail is sent to the employee (or submitter) notifying them of the adjustment.
- 5) An Adjustment Reason screen (example below) will display with the reason the form was last adjusted, whenever the form is accessed from the **Work Queue**.
- 6) From the **Work Queue**, double click on the form. The **Adjust Reason** screen displays. Click on the  button. This will take you to the first tab in the form.



Approved Forms - when forms do not require correction or additional information:

- 1) Employee (preparer or submitter) completes an Expense Reimbursement or Travel Advance form.
- 2) An employee (or submitter) submits form to an approver for review and approval. Once the form is submitted, an e-mail notice is sent to the approver notifying them that a form is waiting for their approval.
- 3) The approver receives the e-mail and signs-in to CalATERS to approve the form. Once the form is approved, it may be sent to an additional approver or to the Accounting Office for approval. Additional approvers will receive e-mail notices, the Accounting Office will not.

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III. Forms Processing (continued)

Approved Forms (continued)

- 4) When the Accounting Office has approved the form, payment will be generated.
Note: Some Expense Reimbursements may also require State Controller's Office, Division of Audit approval before payments are generated.

For Expense Reimbursements:

- 1) A payment will be generated for Direct Deposit if the employee is currently participating in the Direct Deposit program (Note: An Earning Statement will not be generated),

OR

A warrant will be issued and mailed to the mailing address identified in the Profile.

For Travel Advances the check will be:

- 1) Issued from your department's Office Revolving Fund.
The check will be delivered based on the option selected on the Travel Advance, Check Delivery Option screen. The options are:

- Pick up
- Mail
- Call for pick up

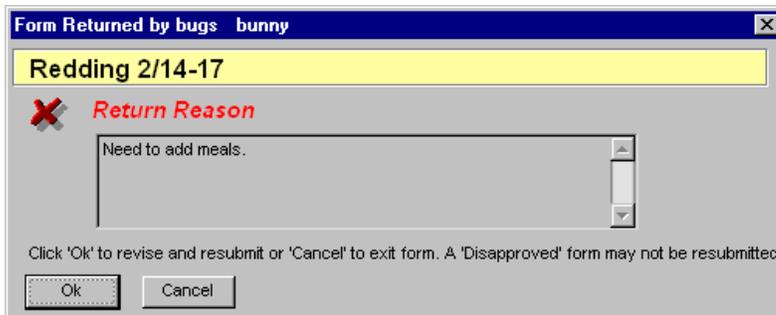
Returned Forms - Process when a form requires correction or additional information:

- 1) During the review process, an approver or the Accounting Office requires more information or substantiation for a request. The approver or Accounting Office may return the form to:
 - The employee or submitter who submitted the request.
 - Any approver who has approved the request.
- 2) An E-mail notice is sent to the selected employee, submitter or approver to alert them of the returned form.
- 3) To view the reason for the returned form, sign-in to CalATERS.
- 4) From the **Work Queue** the form will have a **Status of Returned**.
- 5) Double click on the form.

A **Return Reason** screen (example below) displays the reason the form was returned.

Click on the  button. This will take you to the first tab in the form.

Click on the **Notes** icon to view the Return Reason.



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III. Forms Processing (continued)

Returned Forms – (continued)

- 6) Employees, submitters and approvers can get instructions for making changes to the form using the Miscellaneous Actions Expense Reimbursement or Miscellaneous Actions Travel Advance instructions accessed from the CalATERS web site.
- 7) If the form is returned to an employee (or submitter), they can correct the form and submit it again to the first level approver. An e-mail notice is sent to the approver, notifying them that a form is waiting for their approval.
- 8) If the form is returned to an approver, they can correct and submit the form to the next level approver or to the Accounting Office or return the form to the employee (or submitter). The next approver or employee (or submitter) will receive an e-mail notice, the Accounting Office will not.
- 9) The next level approver or the Accounting Office will sign-in to CalATERS to approve the form. Or if the form was returned to the employee (or submitter), the employee/submitter will make corrections to the form and resubmit the form.
- 10) When the Accounting Office has approved the form, payment will be generated.
Note: Some Expense Reimbursements may also require State Controller's Office, Division of Audits approval before payment is generated.

For Expense Reimbursements:

- 1) A payment will be generated for Direct Deposit if the employee is currently participating in the Direct Deposit program (Note: An Earnings Statement will not be generated),

OR

A warrant will be issued and mailed to the mailing address identified in the Profile.

For Travel Advances the check will be:

- 2) Issued from your department's Office Revolving Fund.
The check will be delivered based on the option selected on the Travel Advance, Check Delivery Option screen. The options are:

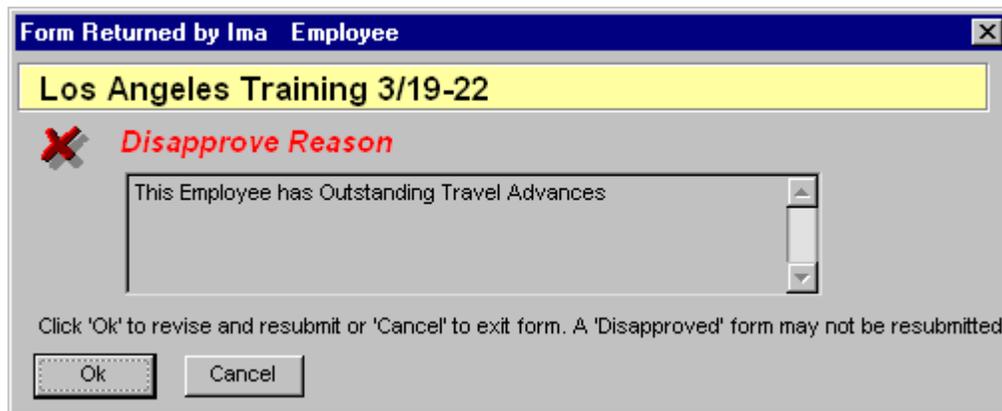
- Pick up
- Mail
- Call for pick up

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III. Forms Processing (continued)

Disapproved Forms - Process when a form is disapproved:

- 1) During the review process, an approver or the Accounting Office disapproves a request. The disapproved Expense Reimbursement or Travel Advance will be returned to the employee (or submitter).
- 2) An e-mail notice is forwarded to the employee (or submitter) to alert them of the disapproved form.
- 3) To view the reason for the disapproved form, sign in to CalATERS.
- 4) From the **Work Queue** the form will have a **Status of Disapproved**.
- 5) Double click on the form. A **Disapprove Return** screen (see example below) will appear with the reason the form was disapproved.
Click on the  button. This will take you to the first tab in the form. This form can only be Viewed. It cannot be modified, corrected or resubmitted.
- 6) Submitters should notify employees of disapproved forms.



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IV. Checklist for CalATERS Users

- Register** as a CalATERS user. If you have not registered as a CalATERS user, get instructions by clicking “Get Started” from the CalATERS home page or click the [Get Started & New User Registration](#) link from any page within the web site.

- Get instructions** for using CalATERS. Click [Travel Advance & Expense Reimbursement](#) from any page on the CalATERS web site. Follow the instructions provided on the web page to get instructions for your role.

- Know your **departments travel policies**, including when prior approval or documentation is required for travel, when receipts are required, etc.

- Know **statewide travel rules**, established by the Department of Personnel Administration, which apply to your (or your employee’s) particular collective bargaining unit. These rules, along with your department’s policies, determine the amount of entitled reimbursement. There is a link to “Collective Bargaining Contracts” on the CalATERS home page.

- Know your department’s **CalATERS Help Desk** number.

Click [Help Desk Contacts](#) to get information for your department.