**CAPPS Document Statuses and Definitions**

Creating Requisitions

A requisition is the initial document created in CAPPS to fulfill the need for a good or service, which can be sourced to a PO. An approved requisition will pre-encumber funds. Here is a list of possible statuses that you might see on the Manage Requisitions screen as requisitions and purchase orders get processed in CAPPS:

|  |  |
| --- | --- |
| Request State  | Definition |
| All but Complete | The Manage Requisitions list can be filtered by choosing the All but Complete status, which means that closed (complete) requisitions won’t display. All other requisitions (Open, Pending, Approved, etc), will display. |
| Approved (Budget Checking Not Chk’d)  | Has been approved but has not been budget checked |
| Approved (Budget Checking Valid) | Has been approved and budget checked and is ready to be sourced to a Purchase Order |
| Canceled | Requisition was entered and saved but then the entire requisition or each requisition line was canceled; A canceled requisition will no longer be available for modification. |
| Complete (aka Closed) | Requisition lines have been fully sourced to purchase orders, received and paid, and no further activity will occur. Once closed/completed, it can be viewed but will no longer be available for further processing or reuse. |
| Denied | Changes must be made and requisition needs to be resubmitted for approval |
| Open | Requisition has been saved for later and has not been submitted for approval; Requisitions in Open Status will not be processed. |
| PO(s) Canceled | A canceled PO will no longer be available for updates. Budget Checking must be run after a line has been canceled to release any allocated amounts. A line cannot be canceled if vouchers have already been applied against it. |
| PO(s) Completed  | A Completes/Closed PO is no longer available for further processing or reuse. A Completed PO can be viewed by going to: Purchasing > Purchase Orders>Review PO Information > Purchase Orders |
| PO(s) Created | Purchase Order has been created but has not been dispatched |
| PO(s) Dispatched | Purchase Order has been sent/printed out to send to vendor |
| Partially Dispatched | Not all items on the PO have been dispatched yet |
| Partially Received | Not all items on the PO have been received yet |
| Pending | Requisition has been submitted and is awaiting approval; will remain in Pending status until it has been approved by all Approval levels |
| Received | Goods/Services have been delivered and a receipt has been recorded in CAPPS |
| See Lines | One or more lines on a requisition have been approved or canceled but another line(s) are still in pending status |

Managing Requisitions

The Manage Requisitions screen allows you to access a list of requisitions that can be viewed or processed further. Here is a list of actions that can be performed:

**Actions Available from Manage Requisitions Screen**

|  |  |
| --- | --- |
| Action | Description |
| Approvals | View approval status/history; Approvals are available to view once a requisition has been submitted for approval |
| Cancel | Can be used to cancel an entire requisition  |
| Check Budget | A Budget Check can be done from the Manage Requisitions screen after a requisition has been approved by all approval levels. An approved requisition must be budget checked before it is available to source to a PO. |
| Copy | Use when a new requisition is needed and the majority of the information already exists on a previously created requisition; Make changes as necessary |
| Edit | Make changes to an existing requisition; editing may start the approval process over again |
| Pre-Check Budget | Checks the budget for available funds but does not pre-encumber the funds; Once a Pre-Check Budget is done, the budget status will change to Provisionally Valid |
|  |  |
| Undo Cancel | This action becomes available once a requisition is canceled |
| View Cycle (Recommend using the Lifespan view on an individual requisition which is like View Cycle status | The Lifespan view displays a timeline of various document stages from Requisition to Approvals to Purchase Order to Change Request to Receipt to Invoice to Payment. |
| View Print | View/Print an existing requisition that contains header and line information, as well as comments |

Budget Checking Process

Budget Checking ensures that there is enough money in the budget to cover a particular transaction. All CAPPS transactions (Requisitions, POs, Vouchers and GL/Budget Journals) are required to go through the Budget Checking process.

**When Should I Do a Budget Check?**

|  |
| --- |
| Budget Checking Process |
| 1. After Requisition has been approved by all approvers
 |
| 1. After a Purchase Order has been approved
 |
| 1. After Accounts Payable Voucher has been created and matched
 |
| 1. After any money-related changes are made to a Requisition or Purchase Order
 |
| 1. After a PO has been Closed, Canceled or Finalized
 |
| 1. A Budget Check automatically occurs when you run the Edit Journal process on a journal entry
 |
|  |

Budget Checking for Requisitions and POs

**Difference between Pre-Check Budget and Budget Check Process**

|  |  |
| --- | --- |
| What Does a Pre-Check Budget Do? | What Does Budget Checking Do?  |
| 1. Tells you in advance whether the Requisition or PO will pass the Budget Check to be performed later | 1. Validates the ChartField combination entered and updates the PO Budget Status to either Valid or Error |
| 2. Does NOT encumber funds | 2. Confirms there are sufficient budgeted funds to execute the transaction |
| 3. Changes Budget Status to Provisionally Valid  | 3. Encumbers the funds equal to the PO amount |
| 4. A Pre-Check Budget is not necessary on the PO but can be performed on a requisition before it is submitted for approval | 4. Budget Checking on a PO will assess pre-encumbrances on related requisitions and liquidates as necessary |
|  | 5. Liquidates or adjusts encumbrances where a PO has been closed, canceled, finalized or changed |
|  |  |

**Budget Status for Requisitions and POs**

|  |  |
| --- | --- |
| Status | Definition |
| Error | Transaction has failed Budget Checking and must be corrected before it can be processed further |
| Not Chk’d (Not Budget Checked) | Has not been Budget Checked |
| Provisionally Valid | Has successfully gone through a Pre-Check Budget (Generally a Pre-Check Budget is only done on requisitions) |
| Valid | Transaction has been successfully budget checked and can be processed |

Reportable Purchase Types

New legislation that took effect on 9/1/15 mandates that certain purchase types are Items Reportable to the Legislative Budget Board.

**Special/Priority Purchase Types**

|  |  |
| --- | --- |
| Purchase Type | Description |
| Sole Source | Product or service is only available for purchase through the specific identified vendor, usually the manufacturer. |
| Proprietary | The specifications or conditions of the proposed purchase allow only one product to be supplied, and preclude any other product or supplier from meeting the specifications.  |
| Emergency | Purchase is being made pursuant to Texas Government Code, 2155.137. Emergency purchases occur due to unforeseeable circumstances and may be warranted to prevent hazard to life, health, safety, welfare or to avoid undue additional cost to the state. |
| After the Fact | A purchase was made outside of the normal purchasing method and the requisition is to provide an avenue to make payment. |
| Confirming Order | An order formally documented after the transaction has occurred. For example, an order is placed and accepted over the phone, to facilitate expedited ordering during critical times. If contractor accepts the phone order, the ordering entity shall issue a PO as soon as possible and include the clause: “Confirmation Order of (Date) – Do not duplicate. Order Confirmed with (Name).” This notation is critical to prevent duplication orders when the written order is received, and to fix the date on which the price is based. |
|  |  |
| Best Value | (To be added) An order awarded to a vendor who did not necessarily provide the lowest bid, but is selected based on other criteria such as availability or quality of merchandise. |

Finalizing a PO

Finalizing a PO is used whenever Encumbrances or Pre-Encumbrances remain that should be liquidated and returned to the budget.

**What Does Finalizing a PO Do?**

|  |
| --- |
| Finalizing Process |
| 1. Releases remaining Pre-Encumbrances on associated Requisition lines
 |
| 1. Releases remaining Encumbrances on associated POs
 |
| 1. Does not cancel an order or close a document
 |
| 1. Can be reversed (Un-Finalized), which restores the Pre-Encumbrance or Encumbrance
 |
| 1. Can be performed at the Header or Line level. Finalizing at the PO Header level affects all Requisition lines associated to the whole PO, while Finalizing a PO line affects only the Requisition line associated with it.
 |
|  |

Budget Checking Process for Journal Entries

Budget Checking ensures that there is enough money in the budget to cover a particular transaction. Here is how Budget Checking relates to General Ledger (GL) and Commitment Control (KK):

**GL/KK - Budget Check Statuses**

|  |  |
| --- | --- |
| Status | Description |
| Valid (V) | Transaction has posted to Commitment Control successfully, and there is sufficient budget balance to support the transaction. |
| Warning (W) | Transaction has been posted to the Commitment Control ledger. There is insufficient budget balance to support the transaction, but the Commitment Control Option is “Track with Budget”. No action is required. |
| Error (E)  | Transaction has failed Budget Checking, and it has not been posted the Commitment Control ledger. There is insufficient budget balance to support the transaction, but the Commitment Control Option is “Control”. Error must be fixed before it can be posted. |

**How to Correct Budget Exceptions**

|  |  |  |
| --- | --- | --- |
| Status | Description | Corrective Action |
| Exceeds Control Budget | There isn’t sufficient budget balance to allow a transaction to post. In most instances, this means the APPROP or one of the budget ledgers are undefined. | 1. Increase the funding
2. Spread charges over multiple budget years by changing budget date
3. Override the budget
4. Change ChartField entries on transaction
 |
| No Budget Exists | The ChartField string/budget year combination does not exist in commitment control | 1. Create a budget journal to include the new Budget ChartField combination
2. Change ChartField entries on the transaction
3. Note: This error must be corrected and not overridden.
 |
| Exceeds Non-Cntrl Budget | ChartField combination is under-funded on a ledger set to track. This message typically occurs on Revenue Estimate and Organization Ledger Groups. | This message is a warning and requires no further action. |
| Budget is Closed | Most likely, this error will occur on a transaction using a project/grant ledger, when spending occurs outside of the sponsor’s start and end date. | 1. Change the ending date of the project
2. Change the budget date on the transaction
3. Change ChartField entries on the transaction
 |
| Budget Date Out of Bounds | Error occurs when a budget is still open, but the budget date on the transaction is outside of the ending date of the budget attributes or the ledger Control ChartField definition. | 1. Change the ending date of the budget attributes
2. Change the budget date on the transaction
3. Charge a different ChartField string
 |
| Outside Expired Date Range | Error occurs when the budget date on the transaction is not within the range of the ChartField’s expiration date specified on the Budget Definition/Expiration ChartField page. | 1. Update the Expiration ChartField page for the new AYs
2. Change the budget date on the transaction
3. Charge a different ChartField string
 |

**Journal Header Status**

|  |  |
| --- | --- |
| Status | Description |
| N | No Status – Needs to be Edited |
| E | Journal has Errors |
| T | Journal Entry Incomplete |
| P | Journal has been Posted |
|  |  |
|  |  |

**Journal Processes**

|  |  |
| --- | --- |
| Status | Description |
| Budget Check Journal | Check the Journal lines for the control budget |
| Copy Journal | Copy the journal to a new journal |
| Delete Journal | Delete the current journal |
| Edit/Pre-check | Edit the journal and run through the Budget Processor. However, the Budget Processor will only check the journal; the funds will not be reserved. This option appears only when General Ledger is enabled for Budget Pre-Check within Commitment Control setup. |
| Edit ChartField | Check if the journal has any ChartField related errors |
|  |  |
| Edit Journal | This process checks and validates the journal before it can be posted. The Edit Journal process also performs a Budget Check on the Journal.  |
| Post Journal | A journal can be posted after it has successfully gone through the journal edit process and has a Valid status. Posting the journal records the transactions in General Ledger. |
| Print Journal | Print the journal |
| Refresh Journal | Retrieve the journal from the database to the page again |
| Submit Journal | Only applies if agency is using the CAPPS automated workflow for Journal Approval |

**Account Types**

|  |  |
| --- | --- |
| Type | Description |
| A | Assets |
| E | Expenditures |
| L | Liabilities |
| M | Memo |
| Q | Fund Equity |
| R | Revenues |

Receiving in CAPPS

By creating a receipt in CAPPS, the end-user is documenting the delivery of the item/service and the approval to process payment to the vendor. A receipt should only be created when the actual good/service has been received from the vendor or is being returned to the vendor.

**Receipts**

|  |  |
| --- | --- |
| Status | Definition |
| Open (O) | Receipt has not been successfully saved. One or more receipt lines are in Open status. |
| Closed (C) | Closing a receipt makes it ineligible to be updated. The receipt can still be viewed from the Receipts Inquiry page. |
| Hold (H) | This status prohibits further processing against the receipt until it has been removed from hold. |
| Received (R) | All edits have passed and all lines are in Received or Canceled status. |
| Canceled (X) | All lines are canceled. A cancel status action cannot be reversed in CAPPS. |
|  |  |
| Moved to Destination (M) | Indicates that the receipt has been interfaced to CAPPS Asset Management |
| PO Dispatched | Purchase Order has been sent/printed out to send to vendor |
| PO Received | Purchase Order has been sent/printed out to send to vendor |
| Complete (aka Closed) | Requisition lines have been fully sourced to purchase orders, received and paid, and no further activity will occur. Once a requisition has been closed/completed, it can be viewed but no longer updated |
| Cancelled | Requisition was entered and saved but then the entire requisition or each requisition line was cancelled. |

AP Vouchers

Here are the various types of vouchers that can be processed in CAPPS:

**Voucher Styles Overview**

|  |  |
| --- | --- |
| Voucher Style | Description |
| Regular Voucher | Use to create a supplier payment either with or without a purchase order/receipt |
| Multi-Vendor Voucher | Use to pay multiple vendors on a voucher. Can be used to pay Citibank fr credit card purchases if your agency is not using requistions. |
| ProCard Voucher | Use to pay Citibank at the header level while referencing different suppliers at the line. The Purchase Order information can be copied into a voucher using the PO worksheet and the suppliers on the voucher line are populated from the requisition. If requisitions are not being used by your agency, then a payment to Citibank can be made using a multi-vendor voucher. |
| Single Payment Voucher |  Use to issue a one-time payment to a supplier that is not set up in TINS |
| Template Voucher | Use for a particular supplier as a model for creating future vouchers for that same supplier |
| Adjustment Voucher | Use to make accounting corrections from a previous voucher; information is copied in from the original voucher using “copy worksheet”; total amount for an adjustment voucher is zero where one line is a negative amount to back out the original voucher and a second line is a positive amount to the correct Account/Fund/Appn/PCA. |
| Reversal Voucher | Use to reverse a voucher that has been posted in CAPPS and paid in USAS: 1) For cancellation vouchers in USAS, the C-doc number will be used as the Voucher ID in CAPPS 2) Allows encumbrances to be restored and reverses accounting entries 3) Information is copied from the original voucher using “copy worksheet”; line amounts will be negative. |

Voucher USAS/ CAPPS Reconciliation

Here are the different USAS processing statuses as vouchers pass back and forth between CAPPS and USAS.

**USAS Processing Status Fields**

|  |  |
| --- | --- |
| USAS Proc Stat | Description |
| Y | Not yet picked up by the interface; Transactions on the IN Browser that are waiting to match up with the HX file from USAS  |
| U | Picked up by the Interface |
| S | Some of the payment distributions have processed |
| P | All payment distributions have been processed |
| X | Deleted in USAS and indicates a transaction on the IN Browser was marked as deleted in USAS |
| N | Should not be picked up by the interface and should not be sent to USAS.  |

Matching Process

Match Rules are used in comparing the voucher to its related purchasing documents (Purchase Order/Receipt). The Matching process uses match tolerances for merchandise quantity, price and amounts, and an exception will occur if the receipt and voucher are not within the defined tolerance for a Purchase Order.

**Matching Process & Exceptions**

|  |  |  |
| --- | --- | --- |
| Match Type | Match Process | Exception Correction |
| 2 Way Match between Voucher and Purchase Order | Quantity and amount on voucher are matched to quantity and amount on corresponding PO | 1. Create PO Change Order or correct voucher information
2. Exceptions can be overridden using the Accounts Payable Match Workbench
 |
| 3 Way Match by comparingVoucher, PO and Receipt | An invoice is matched to its corresponding PO for quantity and amount and receiving information | 1. Quantity and/or amount tolerance discrepancies can be corrected through PO change Order or by correcting voucher info
2. Create a receipt
3. Match Override option can be used on Match Workbench
4. Match Dispute option can be used on Match Workbench
 |
| 4 Way Match by comparing Voucher, PO, Receipt And Inspection | An invoice is matched to its corresponding PO quantity/amount, receiving & inspection information | 1) Quantity and/or amount tolerance exceptions can be corrected through a PO Change Order or by correcting voucher info2) Add missing Receipt or perform missing Inspection in CAPPS3) Match Override option can be used on Match Workbench |

**Correcting Match Exceptions on Match Workbench**

|  |  |
| --- | --- |
| Match Action | Description |
| Match Dispute | Places entire voucher on hold. No further match processing is done unless the match status is changed to Override. |
| Override | Changes the Match Status on the voucher to “Manually Overriden”. After the Matching process runs, the match status will be changed to “Matched” and the match type to “Matched with Override”.When the Voucher Match Action is used, the Override will apply all voucher lines with exceptions.When Voucher Line Match Action is used, the Override will apply to the specific line.Match Exceptions can be overridden with the proper security. |

**CAPPS and USAS Reconciliation Process**

|  |  |
| --- | --- |
| **IN Browser** | **HX Browser** |
| CAPPS Vouchers that have been posted and processed in CAPPS with a USAS T-code or a payment type of USX land on the IN Browser.  | USAS documents are extracted and placed on an HX file. The USAS to CAPPS inbound interface program merges the USAS HX file with the CAPPS HX Recycle Browser. |
| Transactions on the HX and IN browsers will be compared. The USAS to CAPPS interface will use the CAPPS document number, suffix (stored in the ref doc number, ref doc number suffix), multipurpose code and document date to attempt to find a matching transaction on the IN Browser. * If a USAS document has a matching CAPPS Voucher sitting on the IN Browser, the following fields are compared: Supplier ID, Mail Code, Appropriation Year, Fund, Appropriation, PCA, Comp Object, and Transaction Amount.
* If there are no differences, the transaction will be moved to the archive table.
* If differences are found, the transaction is marked in error and stays on the IN Browser.
* If a USAS document does not have a matching CAPPS Voucher, the USAS transaction will land on the CAPPS HX Recycle Browser where it will stay until a matching CAPPS voucher is created in CAPPS.
 |

Errors Found on the IN Browser

If a transaction on the CAPPS IN Browser finds a match on the USAS HX file but the comparison finds differences, then the transaction is marked in error and will remain on the IN Browser.

In order to move the transaction to the archive table, the status should be changed to one of the following:

**USAS Archive IN Browser**

|  |  |
| --- | --- |
| Change Status to | Description |
| Corrected Error | Use this when another voucher is created to correct the error found in the comparison |
| Delete from Archive IN Table | Use this when no correction is needed in CAPPS |
| Deleted from USAS | Use this if a transaction is deleted in USAS. The USASProcStat on the associated CAPPS voucher is updated to X, and the USASPROCDT is updated to the current date on the voucher. |

HX Recycle Browser

If matching fails between the HX and IN Browser, the following fields can be changed on the HX Recycle Browser:

* Ref Doc No
* Ref Doc Suffix
* Multi-Purpose Code
* USAS Doc Date

Payment Types Used for Voucher Corrections

Correction vouchers that go to USAS are assigned valid USAS Payment Types. Correction vouchers that impact only CAPPS will have a MAN T-Code and will be assigned a payment type of ‘USX’ or ‘MAN’.

The following payment types are provided to instruct CAPPS what to do with the payments not sent to USAS.

**Voucher Correction Types**

|  |  |
| --- | --- |
| CAPPS Payment Type | Description |
| MAN | Use when a payment should be processed in CAPPS and does not need to be sent to USAS. Using a MAN Payment Type means that CAPPS will not send this transaction to the IN Browser for reconciliation. |
| USX | Use when a payment is made directly in USAS, and a matching entry needs to be entered in CAPPS. The USAS Document number is required. A Payment Type of USX means that the matching CAPPS entry will not be sent to USAS. Once there is a matching CAPPS voucher for the payment made directly in USAS, then the transaction will drop off of the IN Browser and HX Recycle Browser when the interface runs. |

|  |  |
| --- | --- |
| **CAPPS** | **USAS** |
| The Cancellation Voucher is created in CAPPS with a Voucher ID equal to the USAS “C” document ID. The Payment Type will be ‘USX’, which will send the voucher to the IN Browser for reconciliation. The ‘CANCEL’ accounting entry template will provide a ‘MAN’ t-code to prevent the voucher from being sent to USAS. | The USAS “C” documents are extracted and placed in a HX file. The USAS to CAPPS inbound interface program loads the USAS-HX file into CAPPS HX IN Browser. |
| * If a USAS “C” doc has an equivalent CAPPS Cancellation Voucher sitting on the IN Browser, the transactions will match up and drop off of the HX Recycle Browser and CAPPS IN Browser and go to the archive tables
* If a USAS “C” doc has no equivalent CAPPS Reversal Voucher, the USAS transaction will land on the CAPPS HX Recycle Browser where it will stay until an equivalent Reversal Voucher is manually created in CAPPS.
 |

Asset Management Financial Transactions

You can perform the following financial actions on assets from the Main Transactions Page in CAPPS.

**Financial Actions on Assets**

|  |  |
| --- | --- |
| Action | Description |
| Addition | Adds an adjustment cost line with a transaction type of ADD as a result of alternate or multiple funding sources |
| Adjustment | Adjusts the cost or quantity of an existing row and adds a line with transaction type of ADJ |
| Fixed Price MarkUp | Applies a markup to the asset you are transferring |
| InterUnit Transfer | Transfers an asset from one Business Unit to another with different legal entities |
| Recategorize | Changes an asset category or cost type |
| Revaluation | Revalues an asset by percentage |
| Transfer | Transfers an asset within the same Business Unit |

**Asset Status**

|  |  |
| --- | --- |
| Status | Description |
| In Service | Adds an adjustment cost line with a transaction type of ADD as a result of alternate or multiple funding sources |
| Auction | Adjusts the cost or quantity of an existing row and adds a line with transaction type of ADJ |
| Budgeted | Applies a markup to the asset you are transferring |
| Disposed | Transfers an asset from one Business Unit to another with different legal entities |
| Received | Changes an asset category or cost type |