

ROLLOVER EXPRESS

Perpetual Rollover/Rollback Manual

Revision History

This section contains details of changes to the document.

Date	Version	Description of Updates	Author
05/23/2014	1.1	Updated document.	DDS
5/28/2015	1.2	Final: Changes made in Appendix D, E & F. Combined FAQ's to Appendix D. Created new Appendix F Tech References. Additional formatting, rewording or instructions were added for clarity throughout.	K. Nabors Gross
6/9/2015	1.3	Corrected menu on page 8 from PSMEN43 to correct PSME43	K. Nabors Gross
4/28/16	1.4	Moved creation of Rate Table for New year to prior to Final Rollover. Modified all menu options documenting changes made to the process where date input was previously required. Updated key points for backups.	V. Gutierrez-Poquiz

Verify the correct FY is being displayed at the various menus. See below for example of what should display based on the Date Indicator

Date Indicator	Description	Example Year End Date = June 30, 2016	
		MMDDYY Format	Fiscal Year Format
CY	Current Year	063016	16
NY	New Year	063017	17

IF AT ANY TIME DURING PROCESSING, A SYSTEM OR RPG ERROR MESSAGE APPEARS, PLEASE CALL THE DEPARTMENT OF DEVELOPMENTAL SERVICES

(DDS) SERVICE DESK

AT

(916) 653-3329

DO NOT TAKE ANY OPTIONS OR PRESS ANY KEY WITHOUT CONSULTING DDS

TABLE OF CONTENTS

ROLLOVER PROCESSING

RE-AUTHORIZATION REVIEW PROCESS BEFORE FINAL ROLLOVER-	4
CREATION OF THE RATE TABLE FOR THE NEW YEAR.....	5
CREATION OF AUTHORIZATIONS FOR THE NEW YEAR (FINAL).....	7
PROCESSING REQUIREMENTS DURING THE WINDOW PERIOD.....	8
PRELIMINARY ROLLBACK	12
FINAL ROLLBACK--YEAR-END GENERAL LEDGER CLOSING	16
APPENDIX A	21
KEY CONTACTS.....	21
APPENDIX B	23
KEY FEATURES.....	23
APPENDIX C	26
GUIDELINES FOR CALENDAR MONTH-END	26
APPENDIX D	29
QUESTIONS AND ANSWERS	29
APPENDIX E	33
CLIENT TRUST TASKS	33
APPENDIX F	35
TECHNICAL ASSISTANCE FOR SYSTEM OPERATORS	35

RE-AUTHORIZATION REVIEW PROCESS BEFORE FINAL ROLLOVER

One of the most important uses of the *Preliminary Process* is printing out the Authorizations by Client in order for Service Coordinators to verify services for the next fiscal year.

From Menu PSME41, select Option 2 *Year End Authorizations Rollover (preliminary)*.

1) Verify the Program Message Display:

*Create work file of authorizations to be rolled into next year
This year's fiscal end date is 063016
The fiscal year of the authorizations to be processed is 16
The new fiscal year to be processed is 17*

2) Is this correct? Yes/No

- If the dates are not correct contact DDS AST immediately and report what dates are showing on the screen.
- If the dates are correct type "YES" and press Enter.

Note: Any response not equal to "YES" will exit the program and take you back to the menu.

3) Do you want to print the condensed authorization edit? Yes or No (RC Preference)

4) Do you want to print JUST the authorization errors? Yes or No (RC Preference)

NOTE: This procedure can be run as many times as needed. As soon as this procedure has been run the first time, POS users will begin receiving messages prompting them to verify their session date.

Ask that your caseworkers review and note any necessary corrections to the Authorizations that will be rolled. The corrections should be made through the regular Enter/Update Service Authorizations from the Accounts Payables Daily Processing menu (PSME22).

This procedure should be rerun after corrections have been made and before Final Rollover.

The following reports will be produced:

- Current Year Authorization Exception List (PS91001)
- New Authorizations Created at Year End (by Caseworker) (PS910P01)
- New Authorizations Created at Year End (by Vendor Alpha) (PS910R01)
- Authorization Entry Edit or Authorization Entry Exception Edit (PS06401 or PS064E01)
- Authorizations by G/L Account (PS02501)

Schedule Run: May through Final Rollover in late June

CREATION OF THE RATE TABLE FOR THE NEW YEAR

This procedure will make a copy of the current fiscal year Rate Table. Once the rate table for the new fiscal year has been created, rate table maintenance can begin. This Rate Table will be used for rate changes for the new fiscal year before rollback. It will then become the new rate table after rollback. Rate History records will be created during rollback.

CAUTION: Before starting this procedure, make sure no users are in POS Authorization Maintenance or POS invoicing.

To create the rate table for the new fiscal year, go to menu PSME42, and select Option 1 *Maintain Rate Table for New Fiscal Year*.

NOTE: The first time this procedure is run for the year, the following message will be displayed:

Do you want to create the rate table for the new fiscal year? Yes/No

If you are running this procedure for the first time this year and this message does **not** display, call the DDS Service Desk at (916) 653-3329 for assistance. It indicates that there may be an invalid rate table on your system.

1) Verify and answer the question on the Program Message Display:

*CHANGING ENDING EFFECTIVE DATE
The new fiscal year to be processed is 17*

2) Is this correct? Yes/No

- If the dates are not correct contact DDS AST immediately and report what dates are showing on the screen.
- If the dates are correct type YES and press Enter.

Note: Any response not equal to "YES" will exit the program and take you back to the menu.

3) Answer the question on the Program Message Display:

Do you wish to change only those rates with a current 6/30 ending date to the new FY? Yes/No

- A "NO" answer will change for all rate ending dates to 6/30/FY.
- A "YES" answer will only change those rates ending on 6/30 to 6/30/FY.

The recommended response is "YES"

4) When you exit the Rate Table, respond to the questions on the Message Display:

- *Do you wish to remove deleted records? Yes/No* (RC Preference)
- *Do you want a new listing? Yes/No* (RC Preference)

Schedule Run: Mid-June or before maintenance of new fiscal year authorizations



1. Before you run a backup be sure your eBilling website is shutdown OR DDS has stopped the data transfer process. This will give you a clean backup and if a restore is done due to an error, the database files used by eBilling and UFS would not change.
2. Be sure you have backed up your UFS data files before running PSME41 Option 3 Year End Authorizations (FINAL).
3. It is also recommended that a backup be created after this process has completed.

CREATION OF AUTHORIZATIONS FOR THE NEW YEAR (FINAL)

Caution: This procedure can be run only once.

From menu PSME41, select Option 3 *Year End Authorizations Rollover (final)*.

- 1) Verify and answer the question on the Program Message Display:
*Create work file of authorizations to be rolled into next year ****FINAL RUN*****
This year's fiscal end date is 063016
The fiscal year of the authorizations to be processed is 16
The new fiscal year to be processed is 17

- 2) *Is this correct? Yes/No*
 - If the dates are not correct contact DDS AST immediately and report what dates are showing on the screen.
 - If the dates are correct type "YES" and press Enter.

Note: Any response not equal to "YES" will exit the program and take you back to the menu.

- 3) Do you want to print the condensed authorization edit? Yes/No (RC Preference)

- 4) Do you want to print just the authorization errors? Yes/No (RC Preference)

- 5) A message with the following will display:
Create SUBACT for July Processing
Authorization Edit

The following reports will be produced:

- Current Year Authorization Exception List (Final)
- New Authorizations Created at Year End - Final (by Caseworker)
- New Authorizations Created at Year End - Final (by Vendor Alpha)
- Authorization Entry Edit
- Open Authorizations List (by Caseworker)
- Authorizations by G/L

Schedule Run: Late June

PROCESSING REQUIREMENTS DURING THE WINDOW PERIOD

- PSMEN4 - *Accounts Payable Services-Annual Processing* menu may be used during the window period for New Fiscal Year processing prior to rollback. The following options are available.
 - Option 2 - *Rate Table and Rate Changes for the New Fiscal Year Menu*
Takes the user to PSME42, where the following options are available:
 1. *Maintain Rate Table for the New Fiscal Year*
 2. *Process Fiscal Year-End Rate Changes*
 - Option 3 - *New Fiscal Year Authorization Menu*
Takes the user to PSME43, where the following options are available:
Maintain Authorizations:
 1. *Enter/Update Authorizations*
 2. *Edit Authorizations*
 3. *Flip Authorization Posted Flag*
 4. *Generate Authorization Documents*
 5. *Change Auth Document Printed Flag to No*
 6. *Maintain Non-Fiscal Data*
Reports:
 7. *Print Authorizations by Caseworker*
 8. *Print Authorizations by Vendor Alpha*
 9. *Print Authorizations by Client Name*
 10. *Print Auth Control by Caseworker*
Inquiry:
 11. *Authorization Inquiry*
 - Option 4 - *New Fiscal Year Trust Menu*
Takes the user to PSME44, where the following options are available:
 1. *SOF Maintenance for July*
 2. *Create Subsidiary Account for New Fiscal Year*
 3. *SOF Change Preview Report for July*
 4. *SOF Update to Authorizations for July*
 5. *SOF Comparison to Authorization Report for July*
 - PSMEN4 Option 5 *Annual Schedules Menu*
Takes the user to PSME27, where the following options are available:
 1. *Schedule Maintenance*
 2. *Edit Schedules*
 3. *Post Schedules*
 6. *Upload Schedules*
 10. *Apply Schedules (Annual)*

- The Authorization posted status must be changed for certain processes:
 - The following processes require new fiscal year Authorizations to be in a POSTED status (Posted = Y):
 - Retro Rate Change
 - Generate Authorization Documents
 - All reports using the Authorization file
 - SOF Change Preview Report for July
 - SOF Update to Authorizations for July
 - SOF Comparison to Authorization Report for July

- The following processes require the new fiscal year Authorizations to be in an UNPOSTED status (Posted = N):
 - New Fiscal Year Authorization Maintenance
 - Year-End Rollback

NOTE: It is recommended that you leave the authorization in an N = UNPOSTED status when the new fiscal year files are not in use.

- To change the status of the authorizations, go to PSME43, and select Option 3 *Flip Authorization Posted Flag*

1) A Program Message Display will display as follows:

This program flips the authorization posted flag for all authorizations for the new fiscal year.

The authorization posted flag must be set to "Y" prior to printing authorization reports, documents, or SOF change processes.

The authorization posted flag must be set to "N" prior to maintaining authorizations for the new fiscal year.

To set the authorization posted flag to "Y," enter "Y," or for "N," enter "N".

2) Input "N" and press Enter

- Annual processing requires that the user's session date be in July. All annual processes will automatically set the user's session date to July 1st. If the user moves from annual processes to regular processing menus, please be aware of your session date. Session date errors create bad data.

- During the month of July, there should be no processing until rollback is performed. If rollback has not been run and it is July, any processing must be thru:
 - A) The Annual Menu (PSMEN4)
 - OR
 - B) The regular menu with a June 30th session date.
- To change the session date, type **SESSIONDT** on the command line; enter twice to get to the entry screen. Enter the session date to be used. Use extreme caution when changing the session date. You can either reset your session date to today's date by repeating the process above, or by signing off.

NOTE: The session date is displayed on the upper left hand side of your UFS screen when you are at a menu.

- It is recommended that one terminal be set aside for processing new year (NY) Authorizations to prevent confusion and possible entry error.
- If a consumer trust account is opened during the window period, a subsidiary account must be created on the annual menu PSME44, using Option 2 *Create Subsidiary Account for the New Fiscal Year*.

After the final roll of Authorizations, there will be two Subsidiary Account files on the system. Adding a consumer trust master account automatically creates a sub-account record in the regular processing environment. This above step is required to add a sub-account for the new fiscal year. This is required even though cash receipts will no longer be processed on the annual menu.



1. Before you run a backup be sure your eBilling website is shut down OR DDS has stopped the data transfer process. This will give you a clean backup and if a restore is done due to an error, the database files used by eBilling and UFS would not change.
2. Back up all data files to tape before starting this process

PRELIMINARY ROLLBACK CREATE YEAR-END CLOSING ENTRIES

The following are preliminary steps leading to the close of the current fiscal year General Ledger and the Year-End Rollback Process.

- 1) Make sure that the option for final rollover has been run, PSME41, Option 3 *Year-End Authorizations Rollover (Final)*. Use a checklist or look for your *Final* report.
- 2) Make sure the new year rate table has been created, PSME42 Option 1 *Maintain Rate Table for New Fiscal Year*.
- 3) Make sure your new year Authorizations are in an N = UNPOSTED status, PSME43 Option 3 *Flip Authorization Posted Flag*. All other Authorization processing should be completed by this time.
- 4) Post all Current Year Journal Entries, GAMEN2. This can be verified by using the *JE Control Report* GAMEN2 Option 4. Since there will be no journal entries for the new fiscal year, all journal entries will be in a posted status.
- 5) Make sure your year-end Final State Claim has been run.
- 6) Print a Summary Trial Balance Report.
From Menu GAMEN3, select Option 3 *Print Summary Trial Balance*.
 - I. Answer the question on the Program Message Display:
SUMMARY TRIAL BALANCE
Do you want to use Beginning Balances (BEG) or
Beginning Forwards (BFD) or
Month-To-Date (MTD)?
ENTER BEG, BFD or MTD (Default to BFD)
 - II. Input **"BFD"** and press Enter

This report will be used to verify the Year-End Closing Entry.

- 7) Print a Year-To-Date (YTD) Trial Balance Report.
From menu GAMEN3, select Option 4 *Print Year-To-Date Trial Balance*.
 - I. Answer the questions on the Program Message Display:
 - *Do you wish to see the detail trial balance or the trial balance summary by journal entry?* Enter a "D" for Detail or an "S" for Summary (RC Preference)
 - *Do you want accounts with zero dollars to print?* Yes/No (RC Preference)
 - *Do you want Trial Balance by Date Range?* Yes/ No (RC Preference)
 - II. Compare account totals from the YTD Trial Balance Report with account balances from the Summary Trial Balance Report for each general ledger account. Research any general ledger account totals that do not match.

- III. Verify that debits equal credits on each report. (Do not expect the grand total debits, or grand total credits from the YTD Trial balance to match the Summary Trial Balance total debits or total credits.)

8) Create the Year-End Closing Journal Entry

NOTE: This procedure may be run multiple times if necessary. If the closing entry is not correct, manually adjusting journal entries may be required. Adjusting journal entries must be posted before re-running this option.

From menu GAMEN4, select Option 1 *Create Closing Journal Entries*.

- I. Verify the Year End Close Menu:
General Fund-Balance Account Number is: 01-00-00-99020-00
- II. Press F7 to Continue
- III. Verify the Program Message Display:
*Create the Year End Journal Entry
Year End Journal Entry Created
Y/E General Ledger Trial Balance
This year's fiscal end date is 063016*
- IV. Press Enter to Continue

This procedure will produce a Year-End Trial Balance Report and create the Year-End Closing Entry. A query report of the Year-End Closing Entry will also be produced.

To review the system generated Year-End Closing Entry on the screen, use menu GAMEN4, select Option 2 *Closing Journal Entry Inquiry*. The Journal Entry number assigned by the system is 00001.

9) From Menu GAMEN4, select Option 3 *Print Preliminary Trial Balance*.

- I. Verify the Program Message Display:
*Y/E GENERAL LEDGER TRIAL BALANCE
The Period Ending Date is 063016*
- II. Press Enter to Continue
- III. Verify the Program Message Display:
*IS THIS THE FINAL RUN OF THE TRAIL BALANCE? YES/NO
WARNING!!
TRUST CLIENT STATUS REPORT CANNOT BE RUN AGAIN
FOR THE CURRENT YEAR IF YOU ANSWER "YES" THAT THIS
IS THE FINAL RUN!
Note: If this is the final run the following will occur:*
 - *The following files will have their current and prior year fields appropriately rolled over:*

- *GGLMST: G/L MASTER*
 - *SUBACT: TRUST CLIENT BALANCES*
 - *The expense accounts for open purchase orders in A/P Operations will be changed to a prior year operations expense account*
 - *Files will be deleted and re-built (BENTRY, BECTRL)
Enter Required Parameter*
- IV. Answer “**NO**” to the question “Is this the final run of the trial balance?”
- V. Check to see if any adjustments (adjusting journal entries) are needed. If adjusting Journal Entries are made, edit and post them before repeating this process. (The process must be repeated from Step 3.)

Note: Journal Entry date will show as the date the process is run.

Schedule Run: June 29 – July



IMPORTANT:
Before You Continue...

- **THIS PROCEDURE REQUIRES A DEDICATED SYSTEM. NO OTHER USERS SHOULD BE ALLOWED TO ACCESS THE SYSTEM.**
- **BE SURE YOUR eBILLING WEBSITE IS SHUTDOWN OR DDS HAS STOPPED THE DATA TRANSFER PROCESS SO THAT YOU CANNOT PUMP FILES BETWEEN UFS AND eBILLING**
- **VERIFY YOUR FINAL STATE CLAIM FOR 6/30/20CY HAS BEEN RUN BEFORE PROCEEDING**
- **BACK UP ALL DATA FILES TO TAPE BEFORE STARTING THIS PROCESS**

FINAL ROLLBACK--YEAR-END GENERAL LEDGER CLOSING

The following are the final steps to close the Current Year General Ledger:

- 1) Print a Summary Trial Balance Report. From menu GAMEN3, select Option 3 *Print Summary Trial Balance*.
 - I. Verify the Program Message Display:
SUMMARY TRIAL BALANCE
Do you want to use Beginning Balance (BEG) or
Beginning Forwards (BFD) or
Month-To-Date (MTD)
Enter BEG, BFD, or MTD (Default to BFD)
 - II. Input “**MTD**” and press Enter
 - III. Input the requested date as **063016** and press Enter

Note: This report will be used to verify the transfer of income and expense balances to subsequent years.

- 2) Before continuing, run the following procedures to make sure the “next number” records are on the system. You do not need to enter any data. Just make sure a record exists on the system for each of the below procedures.
 - I. Call JPS000 (Next invoice number in file)
Record Code = 1
Regional Center ID = Your RC 2 Character ID ____
Enter
F3=Exit and Enter
 - II. Call JPS500N (New year, next Authorization number in file)
RC ID Code: = Your RC 2 Character ID ____
Enter
F3=Exit and Enter
 - III. Call JPS500C (Current year, next Authorization number in file)
Record Code = Your RC 2 Character ID ____
Enter
F3=Exit and Enter
 - IV. Call JPS500PR (Prior year, next Authorization number file)
Record Code = Your RC 2 Character ID ____
Enter
F3=Exit and Enter
 - V. Call JPS5002 (Second prior year, next Authorization number in file)
Record Code = Your RC 2 Character ID ____

Enter
F3=Exit and Enter

If a record does not exist, add a record (CMD 10) and enter the appropriate data. If you are unsure what needs to be entered, call the DDS Service Desk at (916) 653-3329.

3) Print a Preliminary Trial Balance.

From Menu GAMEN4, select Option 3 *Print Preliminary Trial Balance*.

I. Verify the Program Message Display:

Y/E GENERAL LEDGER TRIAL BALANCE

The Period Ending Date is 063016

II. Press Enter to Continue

III. Verify the Program Message Display:

*IS THIS THE FINAL RUN OF THE TRAIL BALANCE? YES/NO
WARNING!!*

*TRUST CLIENT STATUS REPORT CANNOT BE RUN AGAIN
FOR THE CURRENT YEAR IF YOU ANSWER "YES" THAT THIS
IS THE FINAL RUN!!!*

Note: If this is the final run the following will occur:

- *The following files will have their current and prior year fields appropriately rolled over:*
 - *GGLMST: G/L MASTER*
 - *SUBACT: TRUST CLIENT BALANCES*
- *The expense accounts for open purchase orders in A/P Operations will be changed to a prior year operations expense account*
- *Files will be deleted and re-built (BENTRY, BECTRL)*

IV. Answer "**YES**" to the question "Is this the final run of the trial balance?"

V. On the Prior Year P/O Account Number Changes Menu, input the following:

- Enter P/O (Purchase Order) Ending Date as **063016**
- The system will ask for an Operations default General Ledger Account Number. This account number is used when a prior year Expense Account Number cannot be found for the roll of Current Year Operations expense accounts to a prior year account on the Purchase Orders. The G/L Account Number entered should be a Prior Year Operations Expense Account. Enter the account number your regional center wishes to use in this format: XX-XX-XX-XXXXX-XX.

VI. Press Enter to Accept

4) Run Final Rollback.

From Menu GAMEN4, select Option 4 *Perform Year-End Rollback*.

I. Verify the Program Message Display:

YEAR END ROLL BACK OF ACCOUNTS

CURRENT YEAR ENCUMBRANCES BEING ROLLED TO PRIOR YEAR

EMCUMBRANCE ACCOUNT

This year's fiscal date is 063016

The fiscal year of the authorizations to be processed is 16

II. Is this correct? Yes/No

III. The following message will display:

AFTER ROLLBACK COMPLETES -----

PLEASE PURGE YOUR AUTHORIZATIONS, VENDOR INVOICES AND TRUST INFORMATION

All Purge related options are located under 'PURGE' Menu

IV. Press Enter to Continue

CAUTION: This procedure runs in batch mode. The system operator should monitor this program's progress for messages. Additional steps for Rollover/Rollback should not be taken until this batch process completes.

The following files whose GL accounts will now roll include:

- Authorizations
- Invoice
- Trust Receivables
- Trust Loans
- Client Trust Account

NOTE: All reports created at Year End should be saved and stored in a safe location. It is also recommended that a backup be created after this process has completed as well.

- PS91001 CY Auth Exception List
- PS02501 Authorizations by GL Account
- GL01201 Journal Entry Edit
- GL03701 Operating Fund Trial Balance

➤ At this point, your Current Year General Ledger is closed and the New Year General Ledger is open. Before allowing other users to access the system, verify that rollback was performed successfully. To do this:

- 5) Generate a Summary Trial Balance (GAMEN3 Option 3). Do the following:
- Verify that all Income and Expense accounts are zero
 - Verify that the totals of each fund are in balance.
 - Since zero balances will not print, the report should be short and include only asset and liability accounts.

NOTE: If any income and expense accounts are not zero or the funds are not in balance, contact the DDS Service Desk before allowing users to access the system. Also, run a Journal Entry Control report (GAMEN2 Option 4) and verify that no journal entries are included on the report.

- 6) General Ledger account balances for Consumer Trust Receivables must be updated by Manual Journal Entry (GAMEN2). Transfer the ending balances in the Client Support Receivables - SSI/SSP and Other Receivables accounts to the Prior Year Client Receivables account. These ending balances can be from the Summary Trial Balance Report using Beginning Forwards (BFD) (GAMEN3 Option 3). The Journal Entry should be entered as follows:

	DEBIT	CREDIT
Client Support Rec - SSI/SSP 02-00-00-02010-00		X
Other Receivables 02-00-00-02020-00		Y
Prior Year Client Receivables 02-00-00-03010-00	(X+Y)	Z*
2 nd Prior Year Client Receivables 02-00-00-04010-00	Z*	

To balance your Open Receivables report to the General Ledger, you will need to total all of the above accounts.

- If it is your regional center’s practice, transfer the current and prior year income and expense account balances to the subsequent year's accounts using a manual Journal Entry. This manual JE will be a Debit to Expense and Credit to Income accounts. If, for some reason, the Journal Entry does not balance, the balancing amount must be posted to a fund balance.

Example:

From the Summary Trial Balance Report:

01-00-00-32010-00	Community Care Facility	\$800,000
01-00-00-83010-00	Prior Year Community Care	\$950,000
01-00-00-93010-00	Two Years Prior Community Care	\$990,000

The Journal Entry should be entered as:

	DEBIT	CREDIT
Prior Year Community Care 01-00-00-83010-00	\$800,000	
Two Years Prior Community Care 01-00-00-93010-00	\$950,000	
Prior Year Income 01-00-00-20070-00		\$800,000
Two Years Prior Income 01-00-00-20080-00		\$950,000

Schedule Run: Right after close of the General Ledger

- 7) Run the Authorization Posting from the regular Daily Transaction Menu.
Note: session date must be in the new fiscal year.

Schedule Run: Immediately after close of the General Ledger

- 8) At this time you may want to load your budget for the New Fiscal Year.

APPENDIX A
KEY CONTACTS

Appendix A

For Rollover/Rollback questions or issues, please call (916) 653-3329 or send an e-mail to ast@dds.ca.gov.

If at any time during the Rollover process a system or RPG error message occurs, please call the Service Desk at (916) 653-3329. Be sure to mention that you have an error message. **DO NOT RESPOND TO ERROR MESSAGES OR PRESS ANY KEY WITHOUT CONSULTING THE DEPARTMENT.** The user experiencing the problem should not log off until the Technical Support Team has responded.

APPENDIX B
KEY FEATURES

Appendix B

ROLLOVER KEY FEATURES

Authorizations

- Creates New Fiscal Year Authorizations
- Allows Printing of New Authorization Documents
- Allows Entry of New Fiscal Year Authorizations
- Allows Maintenance of New Fiscal Year Authorizations
- Allows schedules to be applied
- Creates New SUBACT, SOF and CSOFT Records for the New Fiscal Year

Rate Table

- Creates New Fiscal Year Rate Table
- Allows Entry/Maintenance of New Rate Table
- Allows Running of Retro Rate Change Against New Fiscal Year Authorizations

Points/Restrictions

- 1) Annual menus use same programs, but different files (all rollover files begin with "W"). Procedures were changed to access "W" files. Screens and reports will look identical to regular processing screens and reports.
- 2) "Rollover" or "Window" period is the window between final authorization rollover and General Ledger rollback. During this time, the system is very date sensitive:
 - If RC is doing Current Year processing, they must use REGULAR (not annual) menu options, and session date must be in the current fiscal year.
 - If RC is maintaining new year records, they must use the ANNUAL menu option, and the session date must be in the new year. Annual menu processes will set the session date to July.
 - No journal entries for the new fiscal year should be created.
 - No payments for the new fiscal year should be made until after rollback.
 - During the Window Period, there are two Subsidiary Accounts for each consumer, one for the Current Year (CY) and one for the new year (NY). Since there is no longer any processing on the annual menu, the new subsidiary account will not be used. The only funds available until after rollback are funds received through June 30. Do not process July benefits until after rollback.
 - Trust status reports and Subsidiary Account reports must be run with the session date that matches the regional center's rollback status. This means if the regional center runs rollback on June 30th, the system is in the new year so trust reports must be run with a July session date. If the regional center has not run rollback, trust reports must be run with a June session date.

ROLLBACK KEY FEATURES (cont'd)

General Ledger

- Closes income and expense accounts to the fund balance in each fund.
- Rolls account balances forward, moves all FY current year activity to prior year fields, zeroes out Current Year fields, sets "month closed" flags for all months to "N".
- Deletes Journal Entries with JE dates of the fiscal year to be closed.
- Archives General Ledger Master file and Journal Entry files including PSWORK members processed in the fiscal year.

Authorizations

- Rolls General Ledger Accounts on authorizations to prior or second prior year accounts based on the year-end account table.
- Adds new year (NY) authorizations to the current authorization file.
- Updates next Authorization number files.
- Updates General Ledger expense account numbers in invoice files.

Client Trust

- Merges Subsidiary Account for the new year (NY) with the Subsidiary Account for Current Year, calculating the new beginning balance and balance forward.

Rate Table

- Merges the rate table for the new year (NY) with the Current Year (CY) rate table.
- Creates a rate history record for rates created for the new year (NY).

APPENDIX C

GUIDELINES FOR CALENDAR MONTH-END RECONCILIATION WORK SHEETS

APPENDIX C

The purpose of the Guideline for Calendar Month-End Reconciliation is to assist the regional center in reconciling the Bank Statement(s), General Ledger, and Supporting Reports. This process should be followed monthly and not just at year end. While the reconciliation will identify any variances, it is equally important for regional center staff to follow-up, and resolve, any variances between the following:

- 01 Cash Account(s) to Bank Statement(s)
- 01 Receivables and 01 Payables to regional center maintained schedule(s).
- 02 Cash Account(s) to Bank Statement(s)
- 02 Client Trust Status to Client Subsidiary Account current balance
- 02 Client Subsidiary Available Balance to Client Trust Status Total less total amount committed on the Committed Funds Report
- 01 Due From Client - TCB Loans to 02 Due To OPS - TCB Loans to the total amount of the TCB Loan Listing.
- 01 Due From Client - SOF Loans to 02 Due To OPS - SOF Loans to the total amount of the SOF Loan Listing.
- 02 Current Year, Prior Year and 2 Year Prior Receivable accounts to the total of the Open Receivable Report.

PRIOR TO GENERATING ANY REPORTS, THE REGIONAL CENTER MUST BE SURE ALL PROCESSING HAS BEEN COMPLETED AND ALL JOURNAL ENTRIES HAVE BEEN POSTED.

ADDITIONALLY, ALL REPORTS AND THE YEAR-TO-DATE TRIAL BALANCE AND SUMMARY TRIAL BALANCE REPORTS MUST ALL BE GENERATED BEFORE ANY ADDITIONAL PROCESSING CAN BEGIN.

END-OF-MONTH REPORTS

- 1) Generate the Closed Receivable Report
- 2) Generate the Month-End SOF Loan Report
- 3) Summary Trial Balance
- 4) YTD Trial Balance
- 5) Client Trust Status - All Clients
 - Run for current month
 - Run for three full fiscal years (print only the last page)
 - Compare the totals; they should be the same
- 6) Client Subsidiary Account Listing (Summary)
- 7) Client SOF Loan Listing (Open Loans)
- 8) Client SOF Loan Listing (All Loans) - Look at total on last page; only print if total of report is not the same as the total on the open SOF loan report.
- 9) Client TCB Loan Listing (Open Loans)
- 10) Client TCB Loan Listing (All Loans) - Look at total on last page; only print if total of report is not the same as the total on the open TCB loan report.
- 11) Open Receivable Report (exclude 0 (zero) amounts)
- 12) Open Receivable Report (include 0 amounts) - Look at total on last page; only

- print if total of report is not the same as the total on the 0 (zero) report.
- 13) Committed Funds Report
 - 14) If discrepancies are found, the following reports may be run:
 - Compare Receivables Summary to Detail (Menu ARME52, Option #8).
 - Committed Funds Comparison Report (Menu ARME52, Option #18).
 - SUBACT/CTRANS Differences (Menu ARME52, Option #19).

RECONCILIATION

- 1) The Trust Reconciliation form can be accessed at www.dds.ca.gov/AST/FileAdjForms.cfm. Select Trust Reconciliation Form. Be sure to enable macros. Complete the form and identify any differences.
- 2) Determine consumer(s) affected and reason(s) for the difference.
- 3) Take appropriate action to resolve difference.

POSSIBLE CAUSES OF DIFFERENCES

- 1) System error message occurred during processing.
- 2) Requests to the Application Support Team to adjust records and associated journal entries were not completed.
- 3) Differences occurred during processing. It is recommended that journal entry edits be reconciled to batch totals. Discrepancies should be addressed immediately.
- 4) A manual journal entry for adjustments was created rather than using an existing UFS procedure. (This does not refer to those journal entries required because the request to the Application Support Team for a file adjustment requires a manual journal entry.)

APPENDIX D
QUESTIONS AND ANSWERS

APPENDIX D
QUESTIONS AND ANSWERS

QUESTION 1

Before doing Rollover, I received warnings and/or errors on some of the authorizations. Unfortunately, I forgot to correct them before Rollover. During Rollover, they rolled, posted, and encumbered. I thought an authorization would not roll if there were errors.

ANSWER:

They will be rolled; however, you will still need to correct them.

QUESTION 2

Do we need to run Preliminary Rollover before we do Final Rollover?

ANSWER:

It is not required to run the Preliminary before you run the Final Rollover; however, it is recommended.

QUESTION 3

Looking at the Annual Rate Table, I noticed some of the rate records did not roll over. Also, the "Ending Date" was set at 063056 when they all should have been 0630NY. What should we do?

ANSWER:

If the new fiscal year date is entered incorrectly, an incorrect date will show on rate records. Call the DDS Service Desk at (916) 653-3329 or e-mail ast@dds.ca.gov for assistance.

QUESTION 4

Who at the regional center should run rollover/rollback?

ANSWER:

Anyone with a non-system operator sign can run rollover/rollback however, since this is a very complex process, seasoned users and those with prior rollover/rollback experience should always monitor and/or work with less experienced staff.

QUESTION 5

How do I make sure authorizations that extend past the current fiscal year will roll properly when reviewing the Preliminary Year End Roll of Authorizations (PS190)?

ANSWER:

The authorization ending date, the One Time Service, and Yearly Renewal flags in the authorization control record, will determine how each authorization will roll. This information should be reviewed on the Preliminary Rollover reports.

Auth Ending Date	One Time Service	Annual Renewal	Results
Prior 6/30/CY			
	Y	N	No New Authorization
	N	Y	No New Authorization
	N	N	No New Authorization
	Y	Y	No New Authorization

Auth Ending Date	One Time Service	Annual Renewal	Results
6/30/CY			
	Y	N	No New Authorization
	N	Y	New Authorization dated 7/1/NY to 6/30/NY
	N	N	No New Authorization
	Y	Y	No New Authorization
After 6/30/CY			
	Y	N	New Authorization starting 7/1/NY extending to the same end date. The original authorization is ended 6/30/CY
	N	Y	New authorization 7/1/NY to the same end month and day. The new authorization ending year adds one year to the end date for the original authorization. The original authorization is end dated 6/30/CY.
	N	N	New Authorization starting 7/1/NY extending to the same end date. The original authorization is ended 6/30/CY
	Y	Y	New Authorization starting 7/1/NY extending to the same end date. The original authorization is ended 6/30/CY

NOTE: Regional center staff should carefully review the Preliminary Authorization Rollover report and identify any potential Rollover Authorization problems. In some cases these problems may be fixed before the Final Rollover; otherwise, the center should correct the problem through Authorization maintenance after the Final Rollover. All centers should expect to do some Authorization Maintenance after Final Rollover.

QUESTION 6

We generally submit our claim around the 22nd of the month; we would like to wait until the 30th of June to submit our May Claim. Will that be okay?

ANSWER:

No, the final May claim needs to be created in time for the June transmission; this means the final claim must be run no later than the day before the transmission.

QUESTION 7

Since we need to do a claim in mid-July, could we run rollback without submitting the June 30th claim?

ANSWER:

No, you will need to create and submit a claim for June 30th. This will enable the Uniform Fiscal System (UFS) to successfully handle the fiscal year change.

QUESTION 8

We understand that an additional June claim will be processed mid-July. We would like to know if it is all right to include a claim for July expenses, such as rent that must be paid in early July?

ANSWER:

When the June claim addendum and other claims are submitted in mid-July, it is all right to submit July claims as well. The claims processed in August for July will be

addenda to the previous July claim.

QUESTION 9

The Rollover Express Procedure suggests running the interest pro-ration procedure prior to rollback. Do I really have to do this or can I wait until I close June and process it as prior year?

ANSWER:

The interest pro-ration procedure can now be run before or after rollback. If it is run before rollback, the posting date should be June 30th. If it is run after rollback, the posting date should be July 1st.

QUESTION 10

What series of journal entry numbers should I use for the new fiscal year?

ANSWER:

Each Regional Center can determine which journal entry number series to use. Many regional centers follow the convention of the first digit signifying the Fiscal Year and second digit assigned to processing groups such as Operations, POS, Trust and Manual Journal Entries.

QUESTION 11

Why are my New Year authorizations failing edit after Rollback?

ANSWER:

Authorizations with non-monthly frequencies require a non-standard record be added prior to passing edit. The frequency field was added to authorizations November, 2010, and this field has been added to the authorization records created during final rollover. A query has been created for use prior to rollback to identify authorizations that will require a non-standard record due to a non-monthly frequency. The query WNONSTDREQ/RCQRYHQ will create a list of all authorization service headers requiring non-standard records in the WPSPTB file. This query must be run prior to rollback.

QUESTION 12

We are planning to do the Final June claim on July 1st; do I need to change the session date to June 30 to do the claim?

ANSWER:

Yes, if you are going to run the UFS processes to create your Final June claim after June 30th you should change the session date to June 30th. The rollback process does not require a session date change.

APPENDIX E
CLIENT TRUST TASKS

APPENDIX E

CLIENT TRUST TASKS

Before Final Rollover:

1. Set up client trust master files for all appropriate consumers.
2. Identify consumers who have SOFs that should be deleted.
3. Run and review Open Receivable Listing.
4. Run and review SOF Loan Listing.
5. Run and review TCB Loan Listing.
6. Research and correct any discrepancies in client trust reconciliations.

Prior to rollback (for all regional centers):

1. Adjust all Open Receivables for the 2nd year prior so there are no open balances.
2. Repay or write off all SOF loans for the 2nd year prior.
3. Repay or write off all TCB loans for the 2nd year prior.
4. Research and correct any discrepancies in client trust reconciliations
5. Verify that all consumers who have left B&C do not have B&C or P&I dollars on their client trust master default SOF record.
6. Prepare preliminary year-end client trust reconciliations.

During Window Period (for regional centers running final rollover prior to 6/30):

1. When setting up client trust master files, enter source of fund information for both the current and new fiscal years. Do not forget to add the subsidiary account for the new year (NY) on the annual menu.
2. Delete SOFs for identified consumers. Delete SOFs using a new year (NY) session date. This can be done on the annual menu, PSME44 Option 1 *SOF Maintenance for July*.

After Rollback:

1. Run and review Open Receivable listing. Prepare journal entry to adjust the receivable balances for each fiscal year. You may use OR Reporter, query, or another method to determine the correct dollars to record for each fiscal year. A consumer UCI will be required to input the journal entry.
2. Finalize year-end client trust reconciliations. Be sure to re-run reports.

NOTE: When running trust reports before rollback the session date must be in June. When running trust reports after rollback the session date must be in July. The session date is in the upper left of the screen when at a menu.

APPENDIX F

TECHNICAL ASSISTANCE FOR SYSTEM OPERATORS

Rollover Express – Technical Assistance for System Operators

➤ Save Data Libraries

To ensure a clean save of the data libraries, it isn't absolutely necessary to have a dedicated system, though that would help.

1. The following three libraries must be saved before starting Rollover/Rollback. These libraries would need to be restored if there was a problem in the process.
 - ARCHLIB
 - RCDTAHQ
 - SAND400

To make sure everyone is out of these libraries, you can run the following command against RCDTAHQ and SAND400 (ARCHLIB isn't typically used interactively):

- WRKOBJLCK OBJ(RCDTAHQ) OBJTYPE(*LIB)
- WRKOBJLCK OBJ(SAND400) OBJTYPE(*LIB)

➤ eBilling Stop Data Transfer – New Process (will provide details in mid-May 2016)

-OR-

➤ eBilling Shutdown

NOTE: Notify Vendors of the schedule date/time of the outage via the bulletin and/or an email. If you are going to put it on the bulletin, we recommend it is posted before June 1st.

Sign on as a System Operator:

1. Type GO ZENDSVR/ZSMENU on the command line and press ENTER
2. Take option #6 - MySQL Management menu
3. Take option #2 - Stop MySQL subsystem (from ZCMYSQL),
4. Then take option #5 - Stop MySQL daemon
5. Type ENDSBS SBS(ZENDSVR) on the command line and press ENTER to end the ZENDSVR Subsystem.