

CalATERS Work Flow and Forms Processing for Preparers

These instructions provide an overview of CalATERS processes for preparers who create Expense Reimbursement and/or Travel Advance forms for employees. These instructions can be printed and reviewed prior to completing your first Expense Reimbursement or Travel Advance form.

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I. **Preparer's Role and Responsibilities**

CalATERS is a web-based system used to process Expense Reimbursement and/or Travel Advance forms. 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.


In the preparer role, CalATERS is used to create Expense Reimbursement and/or Travel Advance forms for employees. The employee is then responsible for reviewing and submitting the form to their approver.

New User Registration/User Profile

Preparers (and the employee's they prepare for) must perform "New User Registration" before they can use CalATERS. Instructions for completing this task are available from the CalATERS Home Page by clicking "Get Started". Before you can prepare a Travel Advance or Expense Reimbursement for an employee, the employee must select you as their Preparer. You must perform New User Registration before the employee can select you as their preparer.

New User Registration will update the preparer's Profile. The Profile contains name, mailing and residence address, e-mail address, collective bargaining identifier, long-term assignment information, etc. Employees are required to maintain their own Profile information. Profile information is attached to every Expense Reimbursement or Travel Advance form.

Creating a Expense Reimbursement or Travel Advance for an Employee

When a Preparer is designated by an employee to prepare their Expense Reimbursement or Travel Advance a Preparer icon  will display on the Preparer's Work Queue. When the Preparer icon is clicked, a list of employees who have designated that person as their preparer will display.

Before creating a form for an employee, preparers should verify that the employee's Profile is current. This can be accomplished by contacting the employee to verify that they have updated Profile information. The Profile information can also be verified when the form is created. Once inside the form, click on the **Edit** option on the **Menu Bar**, then click on **Profile**. If an Expense Reimbursement or Travel Advance form is created with incorrect Profile information, the form may be returned. The employee will then need to cancel the form. The preparer (or employee) will need to create a new form after the Profile information has been updated.

For Profile information access [View User Profile](#) instructions on the CalATERS web site. Click on the User Instructions button then click on the Preparers tab.

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I. **Preparer's Role and Responsibilities (continued)**

Adding/Removing a Preparer

Employees can add or remove a preparer or submitter from their Work Queue, by selecting **Edit**, then **Options**, then the **Prepare for** or **Submit for** tab, or from the **Prepare/Submit For** button on the Profile. Refer to Assign a Preparer instructions on the CalATERS web site.

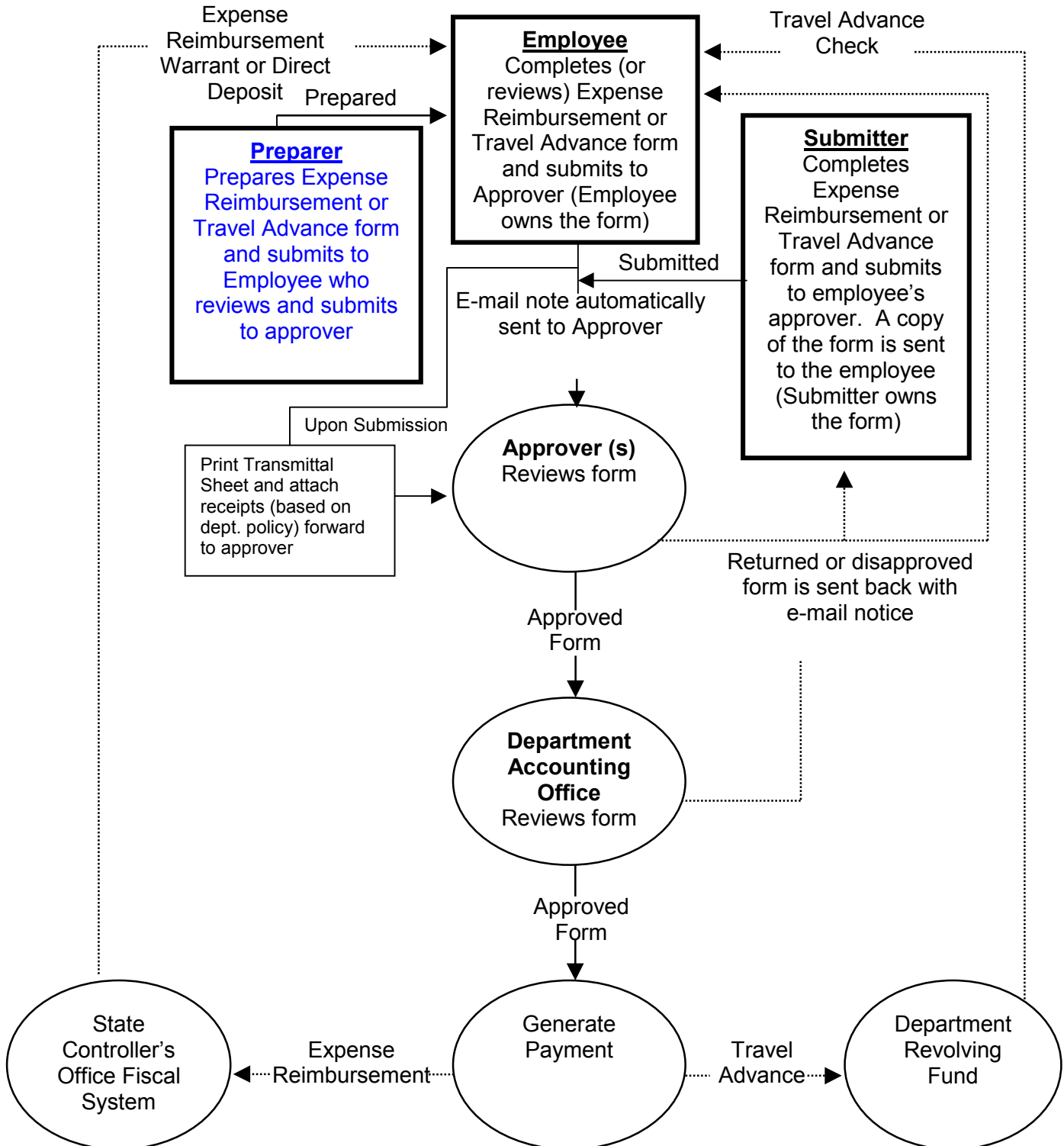
Receipts and Documentation

Employees must provide receipts and documentation information based on their department's receipts and travel authorization policies to support the preparation of Expense Reimbursement or Travel Advance forms. Preparers may be involved in reviewing receipts, depending on department policy.

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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




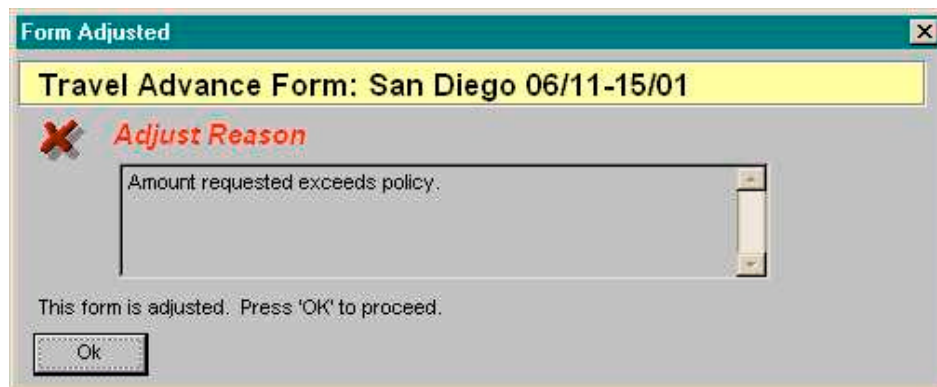
Form Status icon. Specific information regarding the Form Status icon can be found in the Work Queue instructions accessed from the CalATERS web site.

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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

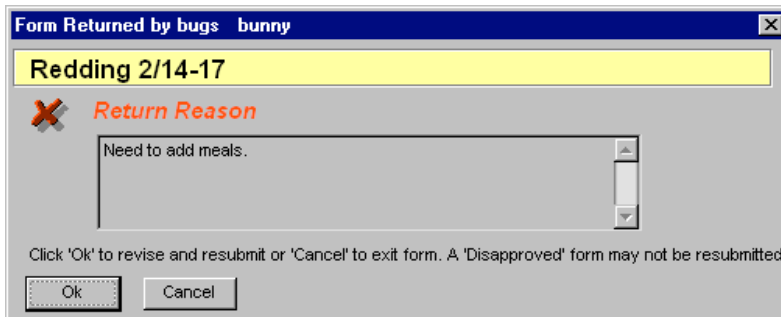
Returned Forms - Process when a form requires correction or additional information:

- 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:

- 2) 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:

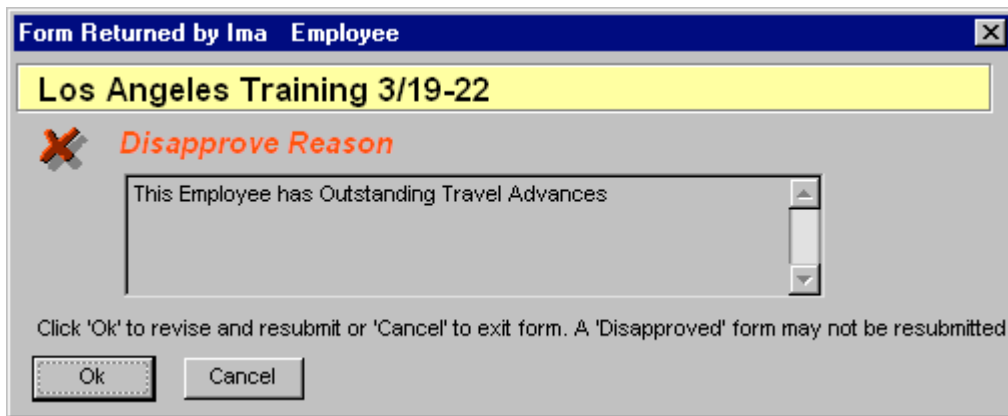
- Pick up
- Mail
- Call for pick up

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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.