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Rehabilitation Administrative Manual

Chapter 11

AUTHORIZING, ENCUMBERING, AND DISENCUMBERING

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RAM CHAPTER 11 ABBREVIATIONS

This chapter includes numerous abbreviations. In an effort to maximize content accessibility, this chapter includes periods with abbreviations that may be phonetically read as a word by a screen reader.

This chapter uses the following abbreviations:

A/D	Activity Due
A.T.	Assistive Technology
BFFR	Budgets, Fiscal Forecasting, and Research
BFS	Blind Field Services
C&PS	Contracts and Procurement Section
CAS	Client Accounting System
CCR	California Code of Regulations
CFR	Code of Federal Regulations
CO	Central Office
CES	Client Encumbering System
CIS	Client Invoicing System
DGS	Department of General Services
DOS	District Operations Support
DOR	Department of Rehabilitation
FFY	Federal Fiscal Year
FMS	Financial Management System
IPE	Individualized Plan for Employment
I.T.	Information Technology
ITSD	Information Technology Services Division
MIOR	Medical Information of Record
PR	Physical and Mental Restoration
PES	Post-Employment Services
RAM	Rehabilitation Administrative Manual
RSA	Rehabilitation Services Administration
SFY	State Fiscal Year
SSD	Specialized Services Division
SSN	Social Security Number
VR	Vocational Rehabilitation
VRED	Vocational Rehabilitation Employment Division
VRPRD	Vocational Rehabilitation Policy & Resources Division
VRSD	Vocational Rehabilitation Service Delivery

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AUTHORIZING, ENCUMBERING, AND DISENCUMBERING

General Requirements

1100 GENERAL REQUIREMENTS (03/16)

The Department of Rehabilitation (DOR) shall utilize a standardized method of authorizing, encumbering, and disencumbering funds for consumer goods and services as described in this chapter.

The DOR shall maintain a separation of duties to serve as an internal control for documentation, authorization, and payment of consumer goods and services. The separation of duties is intended to divide fiscal functions, maintain the integrity of casework, and protect public funds.

District staff will follow DOR Rehabilitation Administrative Manual (RAM) policies and related resources, including but not limited to:

- DOR Contracts and Procurement Bulletins
- RAM Chapter 5—Property/Equipment
- RAM Chapter 9—Procurement Policies and Procedures
- RAM Chapter 10—Accounting Fund Sources, Codes, and Records
- RAM Chapter 12—Authorizing Case Service Expenditures
- RAM Chapter 13—Invoices
- RAM Chapter 14—Accounts Receivable
- RAM Chapter 15—Case Service Property
- RAM Chapter 16—Revolving Fund / Imprest Cash/Bank Drafts
- RAM Chapter 17—Cash Receipts
- RAM Chapter 20—Records Management
- RAM Chapter 30—Record of Services

This chapter is also designed to be used in conjunction with the [AWARE Reference Guide](#) located on the DOR intranet, and the [Accounting and Support Desk Manual Volume 1 and Volume 2](#) located on the Case Management page of the [District Tools, Activities, and Resources Portal \(D-TARP\)](#).

For brevity, this chapter uses the following conventions:

- The term "consumer" is used in lieu of "eligible individuals." Policy references to "consumers" shall also apply to applicants unless otherwise specified.

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- The term "Rehabilitation Counselor" refers to the Senior Vocational Rehabilitation Counselor, Qualified Rehabilitation Professional (SVRC, QRP).
- The term "designated district staff" or "designated district support staff" refers to standard and optional actors within a Vocational Rehabilitation Service Delivery (VRSD) team, a District Operations Support (DOS) team, and other authorized staff.

In accordance with federal and state regulations, the use of the words "shall" or "must," means mandatory, and the use of the word "may" means permissive. For the purpose of this chapter, the use of the word "will" also means mandatory.

Refer to the [Procurement intranet page](#).

Contact CO Accounting at acctginfo@dor.ca.gov

Contact Contracts and Procurement at Procurement.Section@dor.ca.gov

1101 Purpose (03/16)

The DOR is committed to ensuring that federal VR grant funds are fully utilized and liquidated in the appropriate federal fiscal year (FFY). Central Office (CO) Accounting and Budgets Fiscal Forecasting and Research (BFFR) provide oversight and maintain a system for tracking and monitoring the allocation and liquidation of federal funds.

State and federal funds are time-limited. Appropriate and timely authorizing, encumbering, and disencumbering are crucial activities that:

- Ensure goods and services are provided to consumers in an efficient and timely manner.
- Directly impact the DOR's ability to fully utilize its available state and federal funds to provide services to individuals on their path to employment and independence.
- Allow for critical decision making in regard to funding availability.
- Provide for accurate reporting of allowable vocational rehabilitation (VR) obligations.

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General Requirements

1102 Purchasing Authority Program (03/16)

The Department of General Services (DGS) Procurement Division delegates the DOR authority to implement a purchasing program conditioned upon DOR compliance with specific guidelines.

Acting for the DOR, the Contracts & Procurement Section (C&PS) is administratively responsible for this purchasing authority. The purchasing authority includes “Non-Information Technology” (Non-I.T.) and “Information Technology” (I.T.) purchases.

1103 Separation of Duties (03/16)

The separation of duties enables district staff to process vendor invoices through the Centralized Invoicing Process (CIP) with maximum efficiency and accountability.

Designated district staff will perform separate duties of drafting or issuing an authorizing document, and posting the invoice and payments in the DOR electronic records system, “AWARE.” The person who creates an authorizing document may post an invoice as long as he or she did not create the authorizing document for that particular invoice.

Refer to [Exhibit A](#) for the Separation of Duties Guidelines.

1104 Authorization Register (03/16)

The DOR shall use an Authorization Register, available in AWARE, to list services authorized for the consumer along with the expenditures and balances on each authorization.

Designated district staff will follow procedures in the Accounting and Support Desk Manual Vol. 1. The Team Manager will review a consumer's Authorization Register to ensure that all outstanding case service property/equipment is properly listed and disposed.

Refer to the [AWARE Reference Guide](#), Chapter 6, section 6.1 and the [Accounting and Support Desk Manual](#), Vol.1 Chapter 8, section 8.1.

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General Requirements

1105 What is the Procurement File (03/16)

The Procurement file is a record of purchasing documents that provides justification for the procurement activities of DOR.

The designated district staff member is responsible for maintaining the procurement file that supports all activities related to the transaction. These files will be maintained at their workstation or in a central location; in addition, these files will be made available during a compliance review or at any other time upon request by C&PS and DGS-PD.

Procurement files shall be retained in-house for a total of three (3) fiscal years then sent to the State Records Center for four (4) years.

1110 AUTHORIZATIONS (03/16)

The DOR shall demonstrate responsible administration of the VR program through the appropriate management and oversight of authorizations and procurement records, as described in this section.

The DOR shall not be required pay for goods and services that are not authorized in advance by a DOR employee, except in a situation of “extreme medical risk” as defined in [CCR](#) title 9, section 7198.

The DOR staff shall not verbally request a good or service from a vendor without first providing an authorizing document. A written authorization shall be made prior to the purchase of goods and services as documented in a consumer’s record of services.

The DOR shall use the following authorizing documents as the written authorization and agreement to provide/purchase specific goods or services for a consumer for a particular timeframe and at a specific cost:

- **Bank Draft:** Use the DR 297D PURCHASING AUTHORITY PURCHASE ORDER form.
Prefix: BD
- **Commodities:** Use the DR 297D PURCHASING AUTHORITY PURCHASE ORDER form.
Prefix: PO
- **Contract Group Authorization:** Use the DR 297CG CONTRACT GROUP AUTHORIZATION form.
Prefix: GRP
- **Imprest:** Use the DR 297B AUTHORIZATION FOR VOCATIONAL REHABILITATION SERVICES form.
Prefix: IMP
- **Medical:** Use the DR 297C MEDICAL SERVICES AUTHORIZATION AND INVOICE form.
Prefix: Med

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Authorizations

- **Non-Contract Group Authorization:** Use the DR 297B AUTHORIZATION FOR VOCATIONAL REHABILITATION SERVICES form.
Prefix: GRP
- **Non-Medical:** Use the DR 297B AUTHORIZATION FOR VOCATIONAL REHABILITATION SERVICES form.
Prefix: NMed
- **Participant Authorization (PA):** Use AWARE to create an electronic PA record.
Prefix: PA

The DOR shall update authorizing documents on occasion, as necessary for the administration of the VR program.

1111 What is the Authorization Process? (03/16)

“*Authorization*” refers both to (1) the process of documenting a commitment to pay for goods and services in the future; and, (2) the authorizing document that communicates and records the commitment.

The DOR districts will adhere to the following process to “authorize” goods and services:

- The Rehabilitation Counselor will use an individual's record of services case notes and Individualized Plan for Employment (IPE) to document the necessity for provision of goods and services.
- The Rehabilitation Counselor or designated district staff will use an AWARE “Activity Due” (A/D) to document the request to purchase goods and services, or to reissue a previously purchased item from the storeroom.
- Designated district support staff will use an appropriate authorizing document to record the issuance of goods and services.

Team Managers and DOS Managers will review A/Ds and authorizing documents, as necessary, to ensure timeliness, accuracy, and completion.

1112 Activity Due Format (03/16)

The VRSD teams will follow a consistent statewide A/D format to support the effective and efficient communication of procurement information between DOR employees.

The Rehabilitation Counselor or designated district staff will perform the following actions:

- Create an A/D including the standardized headings provided in RAM Chapter 30—Record of Services to communicate procurement information, special instructions, and other information.
- Provide sufficient clarity and specificity to allow designated district support staff to accurately complete the authorizing document(s) for the requested goods and services.

Refer to RAM Chapter 30 for A/D documentation requirements.

1113 Dates of Service (03/16)

The DOR shall follow consistent policies to govern the authorization “service periods” (aka dates of service) as provided in this section. This section also provides rules for separating authorizations, when necessary to allocate consumer goods and services across State Fiscal Years (SFYs).

The authorization “service period” means the begin date through the end date. The service period must not cross a SFY, which runs from July 1 through June 30.

The VRSD team will only authorize goods and services to a DOR consumer with an open record of services. The authorization “begin date” and “end date” must fall within the period the record of services is opened and closed.

District staff will determine the correct SFY according to the service period. When a service is authorized in the last two weeks of the SFY and the actual dates of service is unknown, designated district support staff will perform the following activities:

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- Encumber against the new SFY. Once the invoice is received with the actual dates of service, if the actual dates of service are July 1 or later, no updates to the authorization are required.
- If the actual dates of service fall in June, encumber against the same SFY of the dates of service.

District staff will separate authorizations, as follows:

- When a consumer service that begins prior to July 1 and ends July 1 is authorized at a monthly rate and overlaps the SFY within five days, designated district support staff will encumber and charge it to the year in which the major portion of service falls; otherwise the amount must be split.
- If more than five days are involved, it is necessary to prorate the amount by SFY for both the encumbrance and invoice which will require separate authorizations for each SFY.

If the invoice covers services performed in two SFYs, and the charges need to be split, designated district support staff will perform the following activities:

- Make the appropriate copies of the invoice.
- Stamp one copy of the invoice with “original invoice” stamp (For more information on invoices, see [RAM](#) Chapter 13 Auditing and Payment of Invoices, section 13120).
- Make corrections on each set of invoices listing the proper charge for each SFY.
- Submit the invoices together to CO Accounting Services with a note attached indicating “split invoices”. Split invoices must have separate authorization numbers, one for each SFY.

For college classes, fall registration can be authorized; however, the invoice cannot be paid until the State Budget is passed.

For commodity authorizations, designated district support staff will enter a begin date and end date in AWARE but the SFY that is used for the authorization is determined by the begin date. All goods and services on a commodity authorization with a begin date prior to July 1 will be charged to the begin date FY regardless of when the goods are shipped/received or services are provided.

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Refer to the annual *Fiscal Year End Closing Instructions* memo located in the [DORALL Library](#) for more information.

1113.1 Item End Dates (03/16)

This term refers to the end date for each particular line item within the authorization. For example, services purchased must be provided by the date shown on the Item End Date.

Each Item End Date must fall entirely within the period the authorization covers. Services must be provided by the Item End Date they are budgeted to or they cannot be posted.

1114 Group Authorizations (03/16)

A group authorization is categorized as either a non-contract or a contract group authorization. District staff will distinguish between the purpose and nature of “non-contract” and “contract” group authorizations, their fund source assignments, and their respective authorizing documents.

Group authorizations are based on the fund source selection at authorization for services provided to a group of DOR consumers. Only one fund source will be permitted for each group authorization, regardless of the number of consumers receiving services within a group.

The Team Manager, or a designee of the District Administrator, will monitor fund source assignments for group authorizations and will take appropriate action to ensure accurate selection.

Central Office Accounting will determine the permitted utilization of non-contract and contract authorizations, and may establish additional uses as necessary to administer the VR program.

Refer to [RAM](#) Chapter 10—Accounting Fund Sources, Codes, and Records for more information on non-contract and contract fund source assignments.

1114.1 Non-Contract Group Authorizations (03/16)

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Authorizations

A non-contract group authorization is a document that encumbers funds for services for a group of DOR consumers who are participating in a non-contract or hourly service. An invoice for non-contract group services is calculated and posted according to the actual units of service provided to each consumer, rather than a straight proration.

A non-contract group authorization is typically used to allocate SE group job coaching. The invoice documents the number of “allocated job coach hours” actually worked by each DOR consumer among the total individuals who were authorized on the non-contract group authorization, including DOR consumers and non-DOR (regional center) consumers who participated in the group service.

Only the following group services may be authorized under a non-contract group authorization:

- Concur Travel booking fees
- Group supported employment (SE) allocated job coach hours
- Hourly services on a contract, i.e., contract Interpreting Services

1114.2 Contract Group Authorizations (03/16)

A contract group authorization is an authorizing document that authorizes monthly invoiced contract expenses to a group of DOR consumers who are participating in the contracted services. It is typically created to distribute payment for Cooperative Employment Services authorized under a “Third Party Cooperative Agreement” (TPCA) or a related case service contract. An invoice for a contract service is paid according to a straight proration (or division) of service costs equally among one or more DOR consumers identified on the contract group authorization.

Cooperative contracts are typically three-year contracts that are encumbered in annual “segments” by CO Accounting. They are then paid based on monthly contract invoices.

1115 Participant Authorizations (03/16)

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The Participant Authorization (PA) is an ongoing annual authorization used to authorize all planned payments to a consumer throughout the SFY for a specific fund source. It is created only one time per consumer, per SFY, per fund source. Once created, the same authorization is amended to add items and payments throughout the SFY.

Designated district staff will refer to the following resources for procedures related to completing the PA in AWARE:

- [Accounting and Support Desk Manual](#), Vol.1 Chapter 6, section 6.4.
- [AWARE Reference Guide](#), Chapter 5, section 5.2.

The PA is used in conjunction with the DR 253 CLAIM FOR MAINTENANCE AND/OR TRANSPORTATION form, which serves as an internal invoice that CO Accounting uses for scheduling.

The Rehabilitation Counselor or designated district staff will review and approve PA electronic payment requests in a timely manner, typically on a daily basis.

Designated district support staff will monitor the PA to ensure future planned payments are appropriate and are sufficient to cover the period authorized. The encumbered balance should be zero after all payments have been made, or at the end of the SFY.

1116 Authorization Backdating (03/16)

The DOR shall provide vendors with a written authorization for goods and services in advance. However, in order for the DOR to provide uninterrupted and timely services to consumers, and ensure vendors are paid for goods and services provided, a standardized process for exceptional circumstances warranting backdated authorizations shall be used. Approval and issuance of backdated authorizations shall be closely controlled.

Prior to issuance, a backdated authorization must be approved by the Team Manager, who will perform the following processes and procedures for all backdated authorizations:

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- Review the A/D and the justification for backdating of the authorization.
- Determine whether the justification warrants approval to backdate the authorization.
- If the A/D is approved and the backdate:
 1. Is at or less than the time frames listed below the A/D should be forwarded to the OT-G for processing.
 2. Exceeds the time frames listed below, forward the A/D to the SPT-II or SSA-DOS to amend the authorization.

In each district, only the SPT II and the SSA-DOS will have access in AWARE to override an authorization begin date for an approved backdated authorization that exceeds the timeframes below.

Each approved backdated authorization shall adhere to the backdating requirements for the specific authorizing document used. The SPT II or SSA-DOS shall apply the following backdating requirements for each authorizing document.

- Bank Draft – 0 days – No backdating allowed.
- Commodity – 7 days
- Contract Group – 500 days
- Imprest – 0 days – No backdating allowed.
- Medical Services – 60 days
- Non-Medical Services – 7 days
- Participant – 90 days

The OT-G will have access in AWARE to override an authorization begin date for an approved backdated authorization that does not exceed the timeframes listed above.

1117 Authorizations for Concurrent Services (03/16)

District staff will process authorizations for concurrent services that may overlap or occur at the same time, as appropriate to the individual case. A consumer may receive distinct services from more than one fund source concurrently as long as there is a unique authorization for each separately funded good or service.

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Fund source selection for concurrent services at authorization may include any combination of non-contract and contract fund sources: For example, a consumer may receive SE job coaching funded by the (non-contract) SE-Regional Center fund source, and cooperative employment services funded by a (contract) TPP Cooperative Program fund source. Two separate authorizations are necessary—each having a distinct fund source.

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Methods of Payment

1120 METHODS OF PAYMENT (03/16)

A method of payment determines the means by which payment for goods and services are made. Regardless of payment, a corresponding authorizing document is required.

The methods of payment will typically follow the following hierarchy:

- [State Controller's Office \(SCO\) Warrants](#)
- [Consumer Cal-Card](#)
- [DOR Revolving Fund](#)
- [American Express \(AMEX\) / Concur](#) (used solely for consumer travel)

1121 State Controller's Office (SCO) Warrant (03/16)

An SCO Warrant is the preferred method of payment for authorized consumer goods and services. After receiving an invoice, the DOR has a total of 30 calendar days to submit the invoice to the SCO for a warrant.

1122 Consumer Cal-Card (03/16)

A Consumer Cal-Card method of payment is a DOR Visa credit card assigned to an approved DOR employee. It is used for payment of consumer goods and services that have been authorized by the Rehabilitation Counselor.

It is essential that the Consumer Cal-Card is not used to pay for administration purchases and conversely, that the Administrative Cal-Card is not used to pay for consumer purchases.

Contact the DOR C&PS for questions and more information on becoming an approved Cal-Card holder.

1123 Revolving Fund Overview (03/16)

The DOR Revolving Fund is used for Imprest Cash, Immediate Payment Demands, Bank Drafts, and Participant Authorizations.

1124 Revolving Fund: Bank Drafts (03/16)

A Bank Draft (BD) is a check issued by the DOR to pay a vendor directly for consumer books and supplies, related non-refundable fees to educational institutions such as registration, parking, lab fees, etc., and over-the-counter purchases of goods and services for consumers beyond the existing use for books and supplies, such as clothing, tools, training materials, and office supplies associated with a college/university or other educational program.

Additional BDs may only be issued in the following instances:

1. If classes were added and require additional books and supplies.
2. If books are on backorder and will be paid for separately.

The Rehabilitation Counselor and the consumer will determine the additional cost based on the actual cost or reasonable estimate using information obtained from the consumer and/or school.

A BD shall **not** be used for tuition or refundable fees.

Designated district support staff will issue a BD as long as the cost does not exceed \$500 and it meets one of the following conditions:

- The vendor refuses to accept other forms of payment such as a DR 297D PURCHASING AUTHORITY/PURCHASE ORDER form or the Consumer Cal-Card.
- The vendor charges a service fee for processing an authorization.

The State Administrative Manual ([SAM](#)), section 8124 states that State agencies may use BDs for purchases that have all of the following conditions:

- Immediate payment is necessary.
- Purchase is an over-the-counter transaction.
- Supplier is reluctant to accept a sub-purchase authorization or unable to accept Cal Card.
- Alternative payment methods are not available and are impractical.
- The dollar amount of the purchase is \$500 or less (inclusive of taxes).

The following are **improper** uses of BDs:

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- Mailing BDs directly to vendors.
- Using BDs to avoid the use of sub-purchase orders.
- Splitting purchases to avoid the \$500 limit or other control agency approved limits.

Bank Drafts must be hand carried and presented by the consumer to the vendor at the time of purchase.

A BD is void after 60 days, and will automatically disencumber at 90 days if not cashed.

Refer to [RAM](#) Chapter 16 for more detailed information on BDs.

1124.1 Bank Drafts Requirements (03/16)

The DOR shall ensure BD procedures meet the requirements in the [SAM](#). The VRSD team will perform the following actions to ensure BDs are used appropriately as a method of payment:

- Make efforts to use a DR 297D PURCHASING AUTHORITY/PURCHASE ORDER form or the Consumer Cal-Card in lieu of a BD. The team will only use a BD when no other method of payment is possible.
- Work collaboratively with each consumer to facilitate timely provision of required books and supplies.
- Collect receipts for all BDs—including BDs for books and supplies—within 30 days of issuance. D
- Document delays in receiving receipts in the record of services.

The Rehabilitation Counselor or designated district staff will perform the following actions to collect BD receipts:

- Review with the consumer their responsibilities as described in the IPE.
- Notify the consumer of his or her responsibilities to submit BD receipts within 30 days of issuance.
- Document in a record of service's case note if there are discrepancies between the authorization and the items purchased, or no receipt submitted and document the outcome of the discussion with the consumer.

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- Document the reason why a receipt cannot be submitted within 30 days.
- Monitor A/Ds related to BDs in AWARE.
- Amend the specific BD custom A/D assigned to the designated district support staff with the new due date for submission of receipts, if extended.

Designated district support staff will perform the following actions:

- Review the A/D list of consumers who have received BDs.
- Collect and file the BD receipts for each consumer. Acceptable receipts may be paper or electronic.
- Contact the consumer with a reminder prior to the 30-day deadline.
- Notify the Rehabilitation Counselor or designated district staff if there are discrepancies between the authorization and the items purchased, or no receipt submitted.

The Team Manager record of services review will include an examination of BD receipts, including those for books and supplies.

1124.2 Bank Draft Documentation Procedures (03/16)

Prior to authorization and issuance of the BD, the Rehabilitation Counselor or designated district staff will perform the following actions for each consumer:

- Discuss the responsibilities and requirements for the provision of books and supplies with the consumer.
- For existing IPEs, document this discussion in a case note.
- For new IPEs and amendments, note the requirements as part of the "Consumer's BD Responsibilities."

An itemized list of books and supplies needed for the upcoming semester, quarter, or other term of training is not required. The estimated cost for books and supplies, whenever possible, will be determined by the school's standard allowance for books and supplies which can be obtained directly from the college financial aid office or the school's Internet site. When the estimated cost is not available from the school, the standard allowances in the chart below may be used.

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Methods of Payment

STANDARD ALLOWANCES

Full Time Students (based on school's definition of full-time student, which is usually 12 + units):

SCHOOL TERM	ALLOWANCE
Quarter	\$240
Semester	\$475
+ Summer School	Use the quarter or semester rate

Part Time Students (less than full-time, based on school's definition of full-time student):

SCHOOL TERM	ALLOWANCE
Quarter	\$20 per unit
Semester	\$40 per unit
+ Summer School	Use the quarter or semester rate

1125 Revolving Fund: Immediate Payment Demand (03/16)

An Immediate Payment Demand is a check that is used when payment is required at the time services are rendered or when it is necessary to expedite the service. This type of payment method is typically used to make a payment to another state agency for vocational license or other required fees required as part of a consumer's participation in the Individualized Plan for Employment.

Refer to [Section 1124](#) for more information on BDs.

Refer to [Section 1115](#) for more information on Participant Authorizations.

1126 Revolving Fund: Participant Checks (03/16)

A Participant Check is a method of payment generated by a PA and is issued to the consumer for the purchase of allowable maintenance, transportation, and other goods and services.

District staff will refer to the following resources for procedures related to completing the PA in AWARE:

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Methods of Payment

- [Accounting and Support Desk Manual](#), Vol.1 Chapter 6, section 6.4.
- [AWARE Reference Guide](#), Chapter 5, section 5.2.

1126.1 Reimbursement (03/16)

A participant check can be issued to reimburse a consumer for a purchase made. Prior to the purchase, the Rehabilitation Counselor must have entered a case note giving the approval to the consumer to make the purchase. This is known as a “prior approval case note”. The consumer must supply an original receipt before issuance of the participant check.

Reimbursement to the consumer is not allowed for medical services / devices consistent with [CCR](#), title 9, section 7311 and 34 CFR section 361.50. Additional approvals may be required as listed in [RAM](#) Chapter 12, Exhibit C prior to authorization.

1127 Revolving Fund: Imprest Cash (03/16)

Imprest Cash refers to funds that were established to provide miscellaneous low dollar payments. The imprest cash on hand may not exceed \$100 unless a request to increase has been submitted by the District Administrator and approved by the Deputy Director. One reason why the fund would be increased is if the fund routinely requires replenishment more than once a month. A safe, vault, or money chest must be used to secure the cash.

1127.1 Permissible Use of Imprest Cash (03/16)

Imprest Cash may be used for the following types of service:

- Consumer Imprest Cash – Used to provide consumers up to \$15, in any one day, for transportation purposes, necessary meals incidental to travel, and miscellaneous consumer goods and services.
- Administrative Imprest Cash – Used for minor administrative reimbursements such as office supplies, which do not exceed \$25 per vendor, per day, (excluding tax) and for employee travel expenses which do not exceed \$10. (Requires submission of a STD 262 TRAVEL EXPENSE CLAIM (TEC).)

1127.2 Prohibited Use of Imprest Cash (03/16)

Imprest Cash may **not** be used for the purchase of:

- Aspirin and personal items
- Coffee and party supplies
- Rubber stamps
- Business cards
- Printing
- Consumer medical services
- First aid supplies
- Software
- Any items available from State Contracts

Refer to [RAM](#) Chapter 16, sections 1610 –16174 for more details on Imprest Cash.

1128 Consumer American Express (Amex/Concur) (03/16)

The American Express (Amex/Concur) method of payment is a “card-less” account that is used solely for the purchase of consumer travel. The account is used in conjunction with the Concur Travel site to pay for a consumer’s airfare, car rental, and/or hotel reservations. In addition to these travel expenses, the DOR shall pay Concur Booking Fees which are the fees charged for using this service.

Refer to Section [1114.1](#) Non-Contract Group Authorizations for more information on creating non-contract group authorizations for AMEX/Concur booking fees.

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Vendor Selection

1130 VENDOR SELECTION (03/16)

The DOR shall maintain a standardized, statewide vendor records database in the AWARE vendor module.

The DOR shall use the vendor module to select vendors for the authorization of goods and services to consumers who have an open record of services in the AWARE Participant module.

To select a vendor, district staff can search vendor record's in AWARE.

1131 STD 204 Payee Data Record (03/16)

The State of California requires a STD 204 PAYEE DATA RECORD form to be on file for each vendor doing business with the State (see exceptions below). The completed STD 204 form must include the vendor's name, address, Federal Employer Identification Number (FEIN) or Social Security Number (SSN), and signature. The federal tax identification form, W-9 REQUEST FOR TAXPAYER IDENTIFICATION NUMBER AND CERTIFICATION form, may be used in lieu of the STD 204.

The State of California requires that all parties entering into business transactions that lead to payment(s) from the State must provide their taxpayer identification number (TIN) as required by the State Revenue and Taxation Code, Section 18646.

In order to pay a vendor for services rendered through an authorizing document, the DOR must have a completed STD 204 form from the vendor. The STD 204 form must be completed by the vendor and returned to the district office where the responsible staff member must enter the information into AWARE.

Exceptions: Federal, State, and local governmental entities (including school districts), and companies located outside the United States are not required to complete a STD 204 form.

Refer to the [SAM](#), section 8422.190 for more information on the STD 204 form.

Refer to [RAM](#) Chapter 9 for more information on procurement.

1132 Vendor Requirements (03/16)

In order to do business with the DOR, a vendor must meet the following requirements:

- For the purchase of goods, the vendor must possess a valid CA Seller's Permit.
- For the purchase of services, the vendor must be a California resident or for nonresidents, the vendor must possess an approved Form 588 NONRESIDENT WITHHOLDING WAIVER REQUEST form through the Franchise Tax Board (FTB).
- The vendor must not be identified as tax delinquent by the FTB or the Board of Equalization (BOE). If the vendor is identified as tax delinquent they are ineligible to enter into any contract with the state for the acquisition of goods or services.
- If the vendor currently, or within the previous three years, has had business activities or other operations outside of the United States, it must certify that it is not a "scrutinized" company. (Refer to the Darfur Contracting Act for more information)

Refer to [RAM](#) Chapter 9 Procurement for more details on requirements for vendors doing business with the DOR.

1132.1 Small Business / Disabled Veteran Business Enterprise (SB/DVBE) Requirements (03/16)

A goal of 25% of the total dollar value of departmental purchases and contracts shall be placed with small business enterprises that have been certified by the Office of Small Business and DVBE service. Buyers must obtain quotes from certified SB, Microbusiness (MB), or DVBE vendors before placing an order with a non SB, MB, or DVBE vendor.

Refer to [RAM](#) Chapter 9 Procurement for more details SB, MB or DVBE vendors.

1132.2 Information Technology (I.T.) Goods and Services (03/16)

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Vendors on the State Price Schedule (SPS) are primarily used for purchases of I.T. goods and services.

Refer to [RAM](#) Chapter 9 Procurement for more details on SPS vendors.

1133 Vendor File Maintenance (03/16)

All vendor records located in the AWARE vendor module shall be maintained by designated district and CO staff authorized to create, edit, or inactivate vendor records.

Each district's Supervising Program Technician II (SPT II) and Staff Services Analyst–District Operations Support (SSA-DOS) shall act as the district Vendor Records Technician and perform the duty of district vendor records maintenance.

Designated CO staff shall maintain special registration vendors. Special registration refers to the required qualification and documentation needed for certain vendors. Records for vendors requiring special registration are not entered and maintained by the district Vendor Records Technicians; instead, they are handled by specialists trained for the specific registration type.

The district Vendor Records Technicians and designated CO staff shall ensure the following district vendor records maintenance requirements are met:

- Accurate and non-duplicated vendor data is available for authorizations in AWARE.
- Services for each vendor are accurately assigned and described in AWARE.
- For special registration vendors, vendor certification or approval is obtained prior to entering the vendor in AWARE.

Refer to the [Vendor Records Overview](#) for more information on creating, editing, or inactivating vendor records.

1140 ENCUMBERING (03/16)

Case service encumbrances are legal commitments to purchase goods and services for DOR consumers.

When a Rehabilitation Counselor commits the DOR to provide specific goods and services for consumers, the actual costs are set aside or "encumbered". In the event that goods and services encumbered for a consumer are not provided and no legal obligation remains to pay for the goods and services, the funds are "disencumbered", and the vendor is notified when appropriate.

The DOR shall implement responsibility and accountability for compliance with encumbering policies, business processes, and procedures as follows:

- District Administrators will ensure compliance with encumbering in their respective districts.
- DOR Contract Administrators will ensure that district managers are oriented to the cooperative program contract—and associated case services contract, if any—in their service area and the services provided within each contract.
- District Team Managers will ensure district staff compliance when encumbering funds in the staff work completed in their respective supervisory units.
- Rehabilitation Counselors and designated district staff will ensure compliance in their own work on individual records of services, and as part of a VRSD team, including proper encumbering and disencumbering of funds.

Authority: 34 CFR 361.12

1141 Electronic Encumbering System (03/16)

The DOR shall use a dual electronic encumbering system as follows:

- Designated district support staff will draft, issue and amend authorizing documents in AWARE.
- CO Accounting staff will review and reconcile encumbrances through the CES in the mainframe.

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AWARE will electronically collect information in real time for the DORs financial and federal reporting and for required reporting to control agencies.

Information Technology Services Division (ITSD) will ensure proper integration between AWARE and CES for tracking, monitoring, liquidating and reporting encumbrances.

1142 Maintaining Encumbering Records (03/16)

The DOR districts will maintain the following encumbering records, including but not limited to:

- Case service expenditure authorizing documents ([RAM](#) Chapter 12).
- Case service property authorizing documents ([RAM](#) Chapter 15).
- Check/Bank Draft Counterfoil File ([RAM](#) Chapter 16).
- Procurement Audit file/documentation ([RAM](#) Chapter 9).
- Retained records pursuant to retention schedule ([RAM](#) Chapter 20).

1143 Encumbering Process (03/16)

The VRSD team, in collaboration with the consumer will work together to determine and provide appropriate services. The following two actions will occur prior to the encumbering process:

1. The Rehabilitation Counselor documents planned services in the consumer's IPE or pre-plan services in a case note. This action identifies goods and services that are necessary for the individual to participate in the VR program.
2. The Rehabilitation Counselor or designated district staff communicates the request for goods and services in an A/D that is sent to the designated district support staff.

Designated district support staff will perform the following processes and procedures to complete the encumbering process for each authorization:

- Review the A/D request.
- Select the appropriate authorizing document.
- Verify prior approvals.
- Create and issue the authorizing document in AWARE.
- Follow purchase authority and procurement guidelines.

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- Accurately select the appropriate fund source (budget) at authorization.
- Accurately select service categories, procedure categories and procedure codes.
- Accurately select the appropriate vendor record.

The Team Manager will monitor the encumbrance process to ensure compliance with the processes and procedures in this section.

Refer to the [Accounting and Support Desk Manual](#) and [AWARE Reference Guide](#) for procedures on creating each type of authorizing document.

1144 Encumbrance of Non-Leveraged Procurement Agreement Purchases (03/16)

The DOR shall ensure all solicitations for Non-Leveraged Procurement Agreement (Non-LPA) purchases of \$5,000 or more are processed by C&PS.

The following are examples of Non-LPA purchases \$5,000 or more:

- Tools and equipment
- Storage units
- Website design services
- Marketing and advertising services
- Printing/Art services
- Medical goods and services (excluding Medi-Cal rates)
- Editor/Publisher services

Designated district support staff will forward all A/Ds for Non-LPA purchases of goods and services \$5,000 or more (including tax and shipping), prior to soliciting quotes, to the assigned C&PS Procurement Analyst(s) for processing.

Refer to [Contracts and Procurement Bulletin #2015-01](#) for procedures on this process.

1145 Encumbrances Covering Two Fiscal Years (03/16)

Encumbrances are made for the current SFY, ending June 30. If a service crosses two SFYs, designated district support staff will create a new authorization for the next SFY.

1146 Encumbrances and a Single Fund Source (03/16)

An authorization may not have multiple fund sources. Designated district support staff will create an authorization with only one fund source. Group authorizations that provide services to more than one consumer must all have the same fund source.

1147 Encumbrance Amendments (03/16)

If actual paid costs for any good or service is greater than the amount encumbered and is determined to be an allowable increase, the difference must be reported as an "amendment". An amendment is not required if the cost of shipping and handling exceeds the authorized amount within the \$20 limit. Amendments, cancellations, and corrections shall be made for current and one carry-over SFY data only. The following rules apply:

- If an authorization is in **Draft** status an amendment to the amount encumbered can be made before the authorization is issued.
- If an authorization is in **Void** status it must be opened before an amendment to the amount encumbered can be made.
- If an authorization is in **Closed** status designated district staff shall check to see if a payment matching the invoice has already posted and released prior to reopening the authorization to amend the amount encumbered.
- If an authorization is in **Canceled** status it must be reopened before an amendment to the amount encumbered can be made.

The Rehabilitation Counselor or designated district staffs who are requesting an amendment will perform the following actions:

- Obtain appropriate approvals prior to requesting to add funds or change an authorization service period.

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- Notify the appropriate district support staff through an A/D that an amendment to the amount encumbered for a good or service on an authorization is needed.

Designated district support staff will amend the amount encumbered on the authorization.

Designated district staff will review all encumbrances monthly for accuracy and possible disencumbering.

The Team Manager will monitor encumbrance amendments to ensure compliance with the processes and procedures in this section.

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Liquidation of Federal Funds

1150 CASE TRANSFER ADJUSTMENTS (03/16)

When a consumer's record of services is transferred from one district to another, the DOR shall ensure encumbrance adjustment requirements are met before completing the transfer.

1151 Intra-District Transfers (03/16)

When a consumer's record of services is transferred within a district, encumbrance transfers will occur automatically at the time the record of services is statistically transferred. No adjustment is required for encumbrances transferred within the district.

1152 Inter-District Transfers (03/16)

When a consumer's record of services is transferred between districts, designated district support staff in the sending district will perform the following actions:

- Obtain an on-line Authorization Register.
- Disencumber all outstanding encumbrances for services still pending except for PAs
- Make appropriate notations of action taken and file the Authorization Register in the record of services.
- Provide the receiving district with sufficient information to maintain continuity of services in the transfer case note.
- Process outstanding invoices at time of transfer.

The Team Managers of the sending and receiving districts will monitor inter-district transfers to ensure compliance with the processes and procedures in this section.

1153 Case Service Contract Encumbrances (03/16)

The DOR CO Accounting Services shall encumber and disencumber case service contracts as necessary.

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Disencumbering

1160 DISENCUMBERING (03/16)

The DOR shall ensure disencumbering occurs timely and with sufficient lead time to allow for the reutilization of funds for the authorization of goods and services. As federal grant funds are time limited, the DOR shall ensure vendors submit invoices timely and outstanding encumbrances are followed up on at regular intervals.

The following standards shall be applied:

- Invoices shall be submitted by vendors within 60 days from the date the goods or services were provided in order to be paid from the appropriate federal funds.
- Authorizations still outstanding, and for which it is known that the goods and services will not be provided, shall be disencumbered.
- Authorizations outstanding for goods and services that were actually provided will need follow-up with vendors to ensure invoices are submitted timely for payment.

The DOR shall utilize a standardized process for disencumbering to ensure appropriate utilization of federal and state funds. District Administrators will ensure that staff track and monitor encumbrances and expenditures. This monitoring ensures that funding is available to support DOR consumers.

The Rehabilitation Counselor will notify district support staff to disencumber funds immediately when any of the following actions occur:

- A consumer discontinues services under their IPE.
- An authorization will not be used in its entirety.
- A PA or BD is no longer needed or a change in the IPE service or vendor occurs.
- The amount authorized or date of service is in excess of what will be needed.
- The record of services is closed.

The Rehabilitation Counselor or designated district staff will enter a case note explaining any disencumbered monies and the reason that services were discontinued.

1161 Disencumbering Monitoring Tools (03/16)

Team Managers will work with their designated district staff to conduct monthly reviews of encumbrances and expenditures to ensure VR program compliance.

Designated district support staff will complete monthly reviews of encumbrances and expenditures in the first week of each month. The following reports and layouts may be used to identify disencumbering needs and needed follow up with vendors for invoice submission:

- **Unliquidated Encumbrances Layout (UEL):** The UEL, available in AWARE, is an important tool to view outstanding authorizations.

Designated district staff will use this layout to locate and disencumber authorizations that should be canceled or for appropriate follow-up with the vendor if information has been received that the consumer received the goods or services. This will ensure timely disencumbering and use of VR funds, and timely payment to vendors for goods and services provided.

- **Age-Off Authorization Report:** The Age-off Authorization Report, available in AWARE, is a tool to view and monitor automatically aged off authorizations, after 90 days from the End Date, if there have been no adjustments or invoices posted to avoid reverted year payments, that no longer show on the UEL. The report allows districts to analyze auto-disencumbered items from the previous month and follow up with the vendor as to whether goods/services authorized were provided and should have been invoiced by the vendor. This process assists in eliminating federal reverted year invoices.
- **Authorization Register:** The Authorization Register, available in AWARE, lists all the services authorized for the consumer along with the expenditures and balances on each authorization.

Designated district staff will:

- Review the register at least quarterly during the life of the record of services to identify unneeded goods or services to be disencumbered.

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- Review the register to disencumber all outstanding balances at time of record of services closure or when transferring a record of services to another district.

- **Bank Draft (BD) Reports**

Bank Draft Report (Mainframe) - The mainframe Bank Draft Report is a Sysout Archival and Retrieval System (SARS) report that provides information for the life of the BD, even if it crosses fiscal years, including encumbrance amount, expended amount, manual and auto disencumbering date, voided date, and reprint date. The mainframe Bank Draft Report provides information for BDs that were issued in the mainframe Checkwrite system.

The mainframe BD report is available on the fifth working day of the month and can assist district staff to monitor compliance with BD requirements and policies pursuant to SAM, RAM, and DOR Directives in the areas of authorizing, issuing, and monitoring BDs issued to consumers.

Year to Date Bank Drafts By District Report (AWARE) – The Year to Date Bank Drafts By District Report, available in AWARE, provides information for BDs that were issued in the AWARE Checkwrite system.

The Year to Date Bank Drafts by District Report is available on the first working day of the month.

Designated district staff will print and review the BD reports each month.

The following table shows specific areas to be monitored and corresponding monitoring instructions on how to use the reports.

Areas to Monitor	BD Reports
Splitting the amount between two BDs to circumvent the \$500 limit as specified in SAM .	Are sorted by district, counselor, and consumer to enable the reviewer to identify possible bank draft splitting

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Areas to Monitor	BD Reports
	requiring further analysis.
BDs that have been encumbered but have not been cashed.	For BDs with zero dollar amounts in the “Exp Amount” column and a date in the “Auto Disenc Date”, the reviewer should notify the SVRC to ascertain and document in a case note why the BD was never used.
Improper use of BDs including: using BDs to avoid the use of a purchase order, or using BDs when an alternative payment method is preferred as specified in RAM Chapter 12.	The BD reports are sorted by “Client Name”; therefore, the reviewer is able to identify the number of BDs issued for the same consumer and the same vendor. Also, utilizing the Vendor Names provided, the reviewer can follow up on whether or not the vendor accepts a purchase order or Cal Card.
BDs that are cashed for exactly \$500.	<p>The BD reports identify the original encumbrance and the expenditure amount after the BD has been cashed.</p> <p>BDs shall be used for the exact purchase amount. The BD reports will help identify BDs cashed for exactly \$500 for further analysis and action as appropriate.</p>
BDs that are over-encumbered or encumbered based on the maximum allowable amount of \$500.	The BD reports are sorted by district and counselor, and provide the original encumbered amount and the expended (cashed) amount. The review is able to monitor BDs continually over-encumbered or encumbered based on the maximum allowable amount and follow up as appropriate.
Dates identified in the “Date Voided” column must be the same date as identified in the “Date Printed” column in order	The BD reports provide a Date Printed, Date Voided, Date Reprinted, and Manual Disencumbering Date. This information allows the reviewer to determine whether

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Areas to Monitor	BD Reports
to be a true void. Otherwise, if after the BD print date, it is determined that it will not be cashed, it shall be manually disencumbered.	the BDs with a date voided entry were a true void.

1162 Automated Disencumbering (03/16)

The DOR shall utilize a consistent statewide automated process to disencumber unused authorized funds. This process shall ensure timely disencumbering of medical and non-medical goods and services, and BDs.

If designated district staff becomes aware of an authorization that will not be used the following actions will occur:

- Designated district support staff will disencumber the authorization immediately. They shall not wait for automatic disencumbering.
- The Rehabilitation Counselor will enter a case note explaining why the service was not used.

All authorizations are included for automated disencumbering except the PA and imprest cash.

1162.1 Automatic Disencumbering of Goods and Services (03/16)

The DOR shall utilize the following automated disencumbering process for authorized goods and services:

- A batch process will run monthly to scan the entire AWARE system for open authorizations that have reached 90 days after the authorization end date during the preceding month.
- For those authorizations, the batch process checks the associated encumbrance to see if there has been any activity.
- If there has been no activity, the batch process will automatically disencumber and cancel the authorization.

1163 Final and Partial Payment Feature (03/16)

The invoicing functions in AWARE provide for control of the automated disencumbering of associated encumbrances. Upon posting an invoice payment request, designated district support staff will select either Final or Partial Payment in accordance with the [AWARE Reference Guide](#), Chapter 5, section 5.3 to ensure case service funds are disencumbered appropriately.

Designated district support staff will adhere to the following requirements:

- Select Final Payment to disencumber the balance of an associated line item on an authorization.
- Select Partial Payment to retain the remaining balance on a line item for use of subsequent payments.
- Use the verification of goods and services function in AWARE to verify if disencumbering is appropriate for a specific authorization.

The DOS team will coordinate with the VRSD team to ensure there is sufficient information to select the appropriate payment action, i.e. Final or Partial Payment.

1164 Closed Record of Services (03/16)

At the time of record of services closure, designated district staff will perform the following actions:

- To ensure that services are not provided to the consumer after record of services closure, cancel all recurring planned PA payments.
- Complete appropriate disencumbering.
- Ensure all authorizations are closed or canceled. This may require contact with the vendor to discontinue services as of the record of services closure date and to request outstanding invoices be submitted.
- File the Authorization Register that is attached to the closure report.
- Make appropriate notations as to action taken in the consumer's record of services.

Team Managers will monitor disencumbering at record of services closure to ensure compliance with the processes and procedures in this section.

RECORDS AND FORMS (03/16)

Authorization Register

The Authorization Register is a financial report in AWARE that lists all of the VR services and commodities provided to a consumer.

Bank Draft Report (Mainframe)

The Bank Draft Report (mainframe) is a SARS report that provides information for the life of the BD for BDs that were issued in the mainframe Checkwrite system.

Bank Draft Report (AWARE) - Year to Date Bank Draft by District Report

The Year to Date Bank Draft by District Report is a report in AWARE used to view BDs that were issued in the AWARE Checkwrite system.

DR 229A CLOSURE-REHABILITATED form

The DR 229A is a letter provided to a consumer when their record of services is closed.

DR 229B CLOSURE-OTHER THAN REHABILITATED form

The DR 229B is a letter provided to a consumer when their record of services is closed.

DR 253 CLAIM FOR MAINTENANCE AND/OR TRANSPORTATION form

The DR 253 form is used as a record for controlling and tracking services provided through a PA.

DR 297B AUTHORIZATION FOR VOCATIONAL REHABILITATION SERVICES form

The DR 297B form is used to purchase non-medical services or consumer goods and non-contract group authorizations.

DR 297C MEDICAL SERVICES AUTHORIZATION AND INVOICE form

The DR 297C form is used to purchase medical services, dental services, medical equipment / device repairs, medical records, and medical evaluations, and medical goods.

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Records and Forms

DR 297D PURCHASING AUTHORITY PURCHASE ORDER form

The DR 297D form is used to purchase non-medical goods other than extended warranties within the DOR purchasing authority, medical goods, and for BDs.

DR 812 FISCAL REVIEW AND APPROVAL REQUEST form

The DR 812 form is used for approval of each consumer case service purchase request over \$20,000 and administrative purchase requests over \$5,000.

STD 204 PAYEE DATA RECORD form

The STD 204 form is a form a vendor must complete in order to do business with the State of California. The form includes the vendor's name, address, Federal Employer Identification Number (FEIN) or Social Security Number (SSN), and signature.

Unliquidated Encumbrances Layout (UEL)

The UEL is a layout in AWARE used to view outstanding authorizations.

W-9 REQUEST FOR TAXPAYER IDENTIFICATION NUMBER AND CERTIFICATION form

The W-9 form is an Internal Revenue Service (IRS) form a vendor may submit in lieu of a STD 204 in order to do business with the State of California. The form includes the vendor's name, address, FEIN or SSN, and signature.

DEFINITIONS (03/16)

This section provides definitions pertaining to the DOR policies for authorizing, encumbering, and disencumbering.

Activity Due (A/D): An electronic communication in AWARE from one person to another requesting some record of services action to be performed using a required format.

Amendment: For the purposes of this chapter, amendment refers both to (1) the process of adjusting an authorization; and, (2) the document that communicates and records the amendment.

Authorization: Refers both to (1) the process of documenting a commitment to pay for goods and services in the future; and, (2) the document that communicates and records the commitment.

Authorizing Document: A written commitment to pay for a specific good or service for a consumer during a particular timeframe and at a specific cost.

Bank Draft (BD): A type of revolving fund payment authorized and printed by the DOR with payment guaranteed by the bank. Its function is very similar to a cashier's check.

Budget: Refers both to (1) an estimate of income and expenditure for a set period of time; and, (2) a set allocation of funds for a particular program or service, generally within a SFY. Also see Fund Source.

Client Accounting System (CAS): Encompasses the Client Encumbering System (CES) and Client Invoicing System (CIS). It is located on the DOR mainframe, outside of the AWARE system. AWARE communicates with CAS via program interfaces.

Commodity: Durable goods. In AWARE, "commodity" is an authorization type used to purchase goods.

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Definitions

Dates of Service: The term is also known as the “service period” or “service dates,” and refers to the begin date through the end date of an authorization.

Disencumbering: The process of canceling all or any portion of encumbered (obligated) funds that were originally authorized and committed for the procurement of goods or services.

Encumbering: The process of securing funds, obligated by an authorization in AWARE, for the purpose of procuring consumer goods or services.

Expenditure: Refers to the dollar amount of the actual payment made to a vendor or consumer as the result of an encumbered authorization.

Fiscal Year (FY): The 365 day period of time defined for budgeting and accounting purposes. The DOR references two types of FYs: state and federal. The SFY begins on July 1 and ends on June 30 of the following calendar year. The FFY begins on October 1 and ends on September 30 of the following calendar year.

Fund Source: Refers to an allocated sum of money for a specific VR program or service. The term “fund source” is synonymous with the term “budget” in AWARE at authorization.

Fund Source Assignment: Refers to the assignment of one or more fund sources that are available to a particular consumer for the purchase of goods and services.

Imprest: Refers to cash on-hand in offices to provide consumers with small amounts of cash to pay for goods and services. Imprest cash is periodically replenished through the revolving fund to restore the full cash on-hand amount.

Item Begin Date: The first date in which each line item within the authorization, whether it is a good or service, may begin. The item begin date must not occur prior to the authorization begin date.

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Item End Date: The last date in which each line item within the authorization, whether it is a good or service, must be completed. The end date must not go beyond the date the authorization covers.

Medical: Refers to (1) the practice of medicine, or something done or received in regard to the state a consumer's health; and, (2) the AWARE authorization type used to authorize the purchase of prescribed medical goods or procedures.

Non-Medical: Refers to the AWARE authorization type used to authorize the purchase of services (e.g., tuition, employment services, etc.), other than medical.

Participant: For the purpose of this chapter, participant refers to an AWARE authorization type used to authorize the issue of planned payments directly to a consumer.

Payment: Refers to the funds paid to a vendor in exchange for goods or services received.

Planned Payment: Refers to a request added to a participant authorization to provide a consumer with funds to pay for maintenance, transportation, and other goods or services when appropriate.

Planned Services: Refers to the itemization of service categories and procedure categories in AWARE as part of a consumer's Individualized Plan for Employment (IPE).

Prefix: The authorization prefix is the first part of the authorization number. It is printed on the authorizing document and is also used in AWARE to identify the authorization type to be selected (e.g. MED, NMED, etc.).

Procurement File: The Procurement file is a record of purchasing documents that provides justification for the procurement activities of the DOR.

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Spanner: Spanner refers to a field at the bottom of an authorizing document that includes information specific to the authorization including District, Status, Caseload, (when required) Social Security Number (SSN), Account Code, Amount, Procedure Code, Date of Service, Fiscal Year and Contract/Special Program, as applicable.

EXHIBITS

[Exhibit A Separation of Duties \(03/16\)](#)