Monitoring R*STARS User Class 48(UC48) and User Class 49 (UC49)

This procedure is for management's use in reviewing agency transactions processed with R*STARS User Class 48 (UC48) or User Class 49 (UC49) and/or transaction code 290 (TC290) or transaction code 295 (TC295). The only transaction codes assigned to UC48 and UC49 are TC290 and TC295, but these transactions codes may also be assigned to interfaces.

Transactions processed using UC48 and UC49 enable payments to bypass the vendor file and the Department of Treasury's (Treasury) offset and adjustment process. Under certain conditions (i.e., award programs, refunding of overpayment for goods, services, or licensing fees, or statutory citation that supports exemption), agencies may process payments that bypass the vendor file. Generally, exemption from vendor/payee registration is permitted only if the payment is not 1099 reportable, is less than $100, and the SSN or FEIN is not available. Refer to Sections 6.2.4 and 6.2.5 of the ADPICS/R*STARS Security Manual for requesting access to UC48 and UC49.

When the request is approved by Treasury and the Office of Financial Management (OFM), OFM will notify the department, in writing, which comptroller object(s) to use for transactions the department has been approved to use with UC48 and UC49. OFM will also specify a dollar limit on individual transactions.

There are no system edits to prevent users from:

- Utilizing other comptroller object codes assigned to TC290 and TC295
- Processing transactions exceeding the dollar limit specified by OFM
- Processing transactions other than those approved for use with UC48 or UC49

Therefore, this procedure should be followed, on a monthly basis, to ensure the propriety and validity of transactions processed via UC48 or UC49.

Objectives

1. Determine if UC48 and UC49 (TC290/TC295) transactions are recorded with only the comptroller object codes the department has been approved to use.

2. Determine if UC48 and UC49 (TC290/TC295) transactions are for purposes approved by OFM and Treasury.

3. Verify that UC48 and UC49 (TC290/TC295) transaction amounts do not exceed established dollar limits.

4. Verify payees, receiving payments generated by UC48 and UC49 (TC290/TC295) transactions, are legitimate and are not receiving multiple payments.

Identify the Population of Transactions

Payment processing, that bypasses the vendor file and Treasury offset and adjustment process, is identifiable in MAIN by TC290 and TC295. These transaction codes are assigned to UC48 and UC49 and may be assigned to various interfaces. This information can be queried from accounting event (AE) tables in MIDB.

Monitoring UC48/UC49 Transactions

1. Obtain from OFM-Vendor File/Security Section, a listing of the types of transactions, comptroller object codes, and dollar amounts the department is approved to use withUC48 and/or UC49.

2. Run a script in MIDB to identify transactions processed with TC290 or TC295 for the time period of interest. **(Canned scripts are available in the Security Script Group.)**

3. Compare the listing to the MIDB script results; determine if any unapproved comptroller object codes were used and/or transactions were processed above approved dollar amount.

4. Verify use of comptroller object codes is proper, for approved types of transactions, by reviewing all supporting documentation for the transactions.

5. Perform trend analysis over a period of time to verify payees are not receiving multiple payments (UC48 and UC49 transactions are intended for one-time payment).

6. Determine if exceptions noted above need to be processed in the future using UC48 or UC49. If so, refer to Section 6.2.5 of the ADPICS/R*STARS Security Manual for guidance on how to formally request approval to use UC48 or UC49 for processing such transactions.

7. Notify the Agency Security Administrator if UC48 or UC49 should be removed from a user's R*STARS security.

Technical References

- ADPICS/R*STARS Security Manual, Sections 6.2.4 - 6.2.5