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LIGHTHOUSE User Guide
Accountable Forms Module

Version 5.5 to 5.8.5

CONTENTS

HOW THE ACCOUNTABLE FORMS MODULE WORKS

The Accountable Forms Module is a highly flexible and powerful module which allows the tracking of the movement of accountable forms within an organisation. It manages and tracks forms from their receipt into the organisation, transfers between registers, and issue of forms to individuals. A hand shake process between the form holder and the receiver ensures the location of the form is accurately recorded at any given time. Regular stock takes ensure the records in the Accountable Forms module match the actual locations of the forms.

This Module effectively devolves accountable form and asset management, allowing individuals to create their own registers and move forms around the organisation, while maintaining full control over every individual accountable form in the organisation.

Benefits

- Systematises what is otherwise a resource-intensive manual process.
- Provides an effective governance framework for a sensitive/moderate-risk area of business, including delegate workflows and confirmation of issue/receipt of forms.
- Decreases the opportunity for fraud to occur.
- Regular stocktake identifies discrepancies early.
- Allows for centralisation of management activities.
- Transparency around total holdings of accountable forms.
- Simple yet comprehensive management reporting.

Features

- Configurable for any type of form.
- Management of forms registers.
- Configurable workflow for all form process.
- Receive new forms process
- Transfer forms process.
- Destroy forms process.
- Report lost forms process.
- Issue forms process.
- Manual and auto generated stocktakes.
- Reporting including export to Excel.

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ACCOUNTABLE FORM MODULE SUMMARY

This provides a summary of how accountable forms are received into the organisation, recorded in registers and moved around the organisation.

Step 1 – The Register is Created

A register is the electronic record of groups of forms of the same type – for example: there is one register for Taxi e-Tickets, and a different register for Gift Vouchers, and a different register for Cheques, etc.

Anyone can set up a register. This task is delegated by agency policy. The owner of the register is responsible for managing the register. Each owner can only have one register of each form type in an organisational unit. Ownership of the register can be transferred to another individual if required.

Step 2 – Register Owner Adds New forms

The owner of the Register can add new forms into the business area. This is the process of recording new forms received into the organisation and entering the details of the forms into the Register. Forms can be added in bulk or individually.

Owners of registers can transfer forms to other registers (for example from a Division register to a branch register).

Step 3– Individuals Using the form – Form Users

An individual can be issued one, or multiple forms, from an register. Depending on the type of form used, and how the form has been configured, the individual may be required to perform a reconciliation process after the form has been used.

Reconciliation may include entering in the financial amount the form was redeemed for – such as a cheque or Taxi e-Ticket voucher, or they may be required to return the form if it is a reusable form.

Returning Forms

Form users can return unused forms or reusable forms to a register.

Lost or Stolen Forms

Register owners can report lost, damaged or stolen forms.

Destroying Forms

Register owners can record forms in their register as destroyed.

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Stocktake of Forms

Registers can be configured to perform stocktakes of forms recorded in registers. Stocktakes can be configured to be performed at regular intervals, or can be triggered by a manual request.

TYPES OF USERS IN ACCOUNTABLE FORMS

This document is a training manual to assist you in achieving maximum efficiency when you use the FMCS. This document will cover instructions for the Accountable Forms Module only for all levels of users available within the FMCS.

There are six types of users in the Accountable Forms module. Below is a list of the terminology used and a brief description of the permissions of each level. This section will only give a brief description of the levels as they apply generally across FMCS. The role of each level of user can vary depending upon the Module you are working in.

1.   System Administrator
       These users are responsible for maintaining the system wide functions of FMCS such as:
       - Organisational Structure
       - User Management
       - Global System Settings that effect all modules
       - Updating the FMCS software
       - Authorising Module Administrators
       - System administrators are also module administrators for all modules.

2.   Module Administrators
       These users are responsible for managing and maintaining settings for Accountable Forms module and to configure the form types and the settings that apply to each form. They can also authorise Register Administrators.

3.   Register Administrators
       Register Administrators can view, and operate, all Registers through their Settings Menu. This allows Register Administrators to take over the management of any register if required.
       Other duties of a Register Administrator are:
       - final processing of lost forms
       - requesting and scheduling stocktakes of forms.

4.   Register owners
       These are users that own, and are responsible for a register:
       - adding new forms into the area and entering the relevant details for the form into the register
       - transferring forms to other appropriate registers
       - issue forms to appropriate Form Users
       - approve and follow-up reconciled forms where required
       - accept and maintain returned forms (whether re-useable or unused)
       - stocktake of forms in the Register
       - creating registers and giving permission to other users to be register owners.

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5.   Form Users

These are users that accept an issued form for use:
- returning unused or re-useable forms
- reconciling forms where appropriate.

Note: A single user can hold one or more of the roles listed above.

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REGISTERS

Registers hold a record of each form that has been received into the organisation. Registers are owned by a register owner who is responsible for managing the register.

How to Manage Registers

Anyone can create and own a register.

The rules of a register are as follows:

1.   Only one type of form can be recorded in a register – ie: one register will contain the records of Taxi e-ticket vouchers, while another register will contain the records of Gift Cards.

2.   Each owner can only have one register of each form type in an organisational unit.
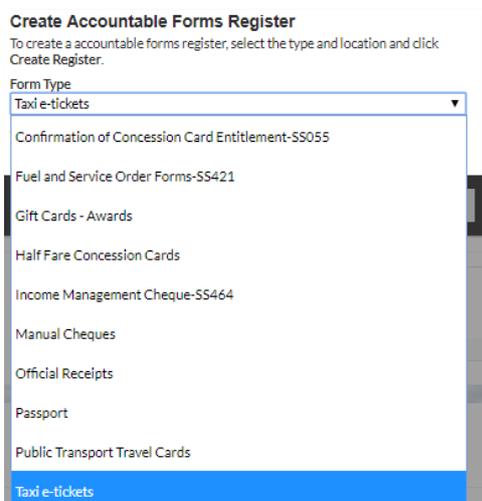
How to Create Register

There are two ways to create new forms

Creating a Register Using the New Menu

1.   From the Home screen, select the New menu and the Accountable Form Register option.
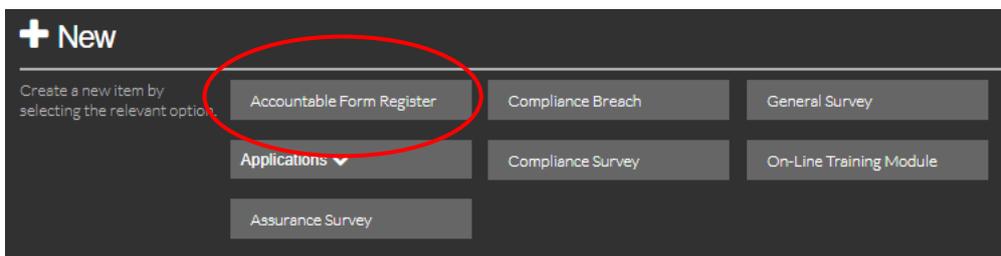
2.   Select the form type from the drop-down list. Your Module Administrator has set up all the possible form types for your organisation.

3.	The Organisational Structure automatically defaults to the Organisation Structure defined for the person creating the register. The Organisational Structure can be changed by clicking on the drop-down arrow to the side of the field. Use the expand arrow to drill down to the level of the organisation structure required.
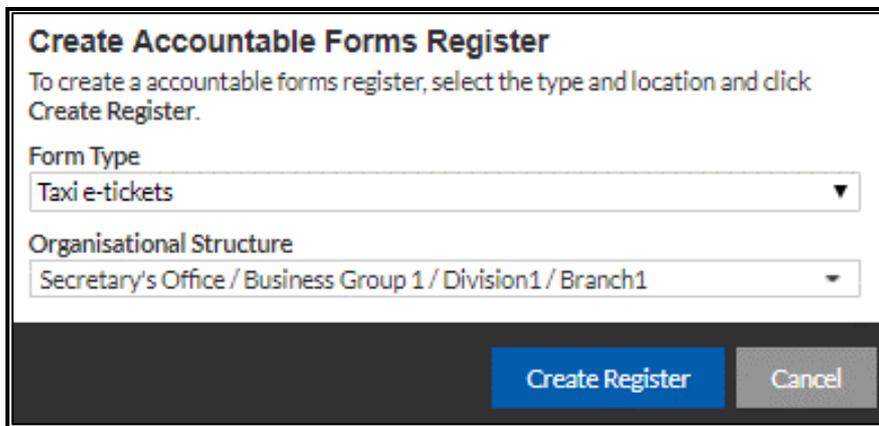
4.	Click on the Create Register button.

5.	There may be a declaration presented that requires agreement to set up a register. If this is the case the options are to Accept, Reject or Cancel. Select Accept to complete creating the register.

A new empty register has now been created.

Creating a Register When Transferring Forms

See **Transferring Forms** and Create New Register when Transferring Forms sections below

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Adding New Forms into the Organisation

New forms received into the organisation are recorded by using the Add New Forms button.

1. Select the appropriate register, through the Tile on the Home Page or the Manage menu -My Forms & Registers option.

2. Select the Add New Forms button.

Add New Forms

This function creates records for new forms in the system. Do not use this function to receive existing or transfered forms.

Please enter the identifiers of the forms you are adding. This can be in the format *100-120* or *120,125,130* or a combination of both, e.g. *100-120,125,130-135*.

Note: all identifiers are inclusive, so *120-121* will record two forms, *120* and *121*.

Account Number

Range

Add New Forms

Note: The Account Number field shown above is a configurable prefix field and may not appear, or may be named something different in different registers. If you see this field it is mandatory to complete the field. Your Module Administrator may have configured this field so that you can only select a value from the drop-down list, or you may be able to enter a new value. If you are able to enter a new value, a warning will be displayed as illustrated above. If the value is correct, continue, and the system will save the new value.

Important: Each form entered into the register must have a unique number. The unique number can be a combination of the two fields shown above.

3.   A dialog box will appear requesting confirmation of the total number of forms being received. Select OK to proceed.
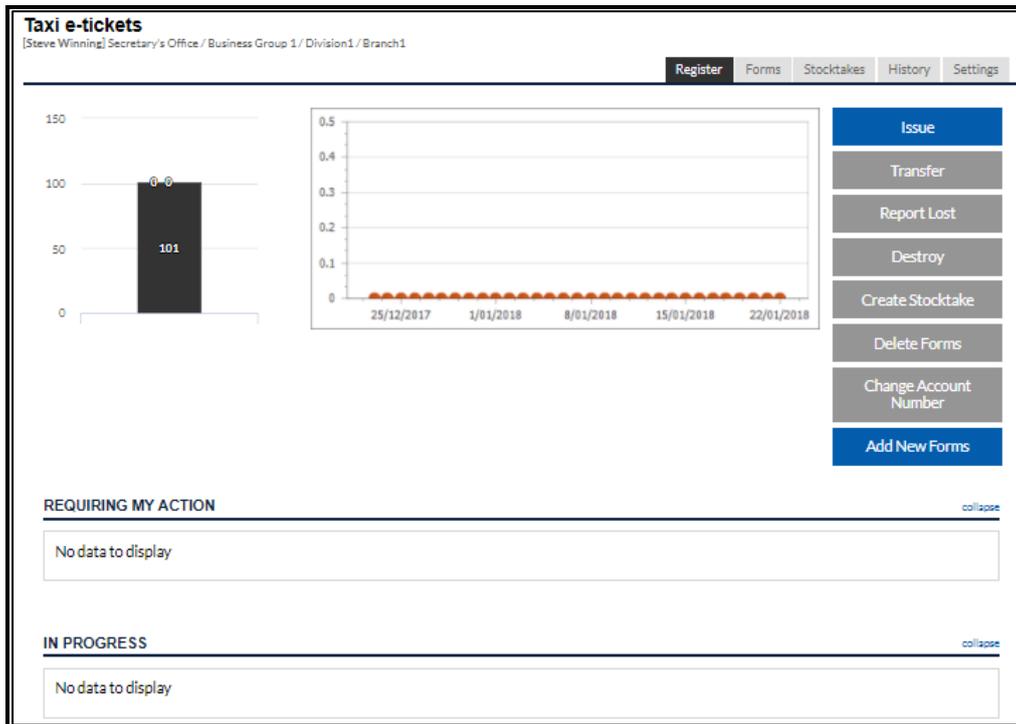
Note the screen has updated: the total number of tickets in the black graph now includes the new forms, and the green graph has also updated showing the 101 new forms added.

Transferring Forms

Forms can be transferred between registers.

Transfer Forms Out of Register

1.   Open the Register the Forms are to be transferred from.

2.   Click on the Transfer button.

3.   Enter the date the transfer took place. Dates can be in the past.

Transfer: Income Management Cheque-SS464
[Admin System] Secretary's Office / AGD / Division2

Transfer of Income Management Cheques (SS464)

The transfer of Income Management Cheques (SS464) must be mad in accordance with the Accountable Forms Policy.

Transfer Date **(draft)**   DRAFT

Transferring Officer	Assistant Secretary (ASEC1) ASEC1@torquesoftware.com.au 🔍
Transfer Date	14/08/2017 📅
Transfer to Register	▼ create new register
Forms	Select All | Clear Selection ☐ 123445

4.   Select the owner of the Register to whom the forms are to be transferred or select the Create New Register (see **Create New Register when Transferring Forms** section below) option if a new register is required.

5.   Select the Account Number from the drop down list.
       See Note on page 21.

6.   Enter the number range of the forms to be transferred, and click on the Populate button. Forms within the range can be de-selected by un-ticking them.
       or
       Click on the Show All button, and de-select the forms not required to transfer out of the register.

7.   Mandatory fields must also be completed, or an error message will be generated.

8.   You may upload attachments. Browse and select documents if required.

9.   Save Draft – allows the information entered to be Saved at any time without submitting the transfer. Once the Draft Transfer is re-opened the Transfer may be deleted by selecting the Delete button.

10.   Transfer – Select the Transfer button to transfer the selected forms. A dialog box will appear asking for confirmation to transfer the forms. Select OK to continue. If you selected to create a new register, this will also be created.
       An email may be sent to the new owner of the register (if configured). An email may also be sent to the recipient of the transfer (if configured). However, no emails will be sent if the transfer is between two registers owned by the same person.

11.   Cancel – selecting the Cancel button will clear all information on the screen and return to the register screen.

12.   Delete – once a Draft Transfer has been Saved, it may be deleted, by selecting the Delete button.

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> Note: The Transfer is not completed until the recipient Accepts and Receipts the transfer. See section below.

Accepting or Rejecting Transferred Forms into a Register

A transfer of forms is not complete until the recipient has accepted them. The recipient also has the option of Rejecting the receipt of the forms.

To Accept forms:

1. Open the Pending Receipt screen by clicking on the "to action" section of the Tile from your home screen.
   If there is only one item waiting to action, the Pending Receipt screen will open directly. If there are multiple items waiting to action, select the required one from options presented.

2. Check the forms physically received against the forms listed on screen. De-select any forms on screen that may be missing.

3. Enter the date the physical forms were received.

4. If configured, enter any additional information.

5. Attach any required documents by Browsing and selecting.

6. Save– allows the information entered to be Saved at any time without submitting the Receipt

7. Print – the screen can be printed at any time without Receipting the forms.

8. Select the Accept Receipt button to confirm the transfer of forms in the system.

9. A dialog box will appear requesting confirmation of the action. Select OK to continue.

10. Confirmation of the action will appear on screen.

11. The Administrator may configure the system to send a confirmation email to the transferring officer.

To Reject forms

1. Select the Reject Receipt to if you do not accept the transfer of forms in the system.

2. A dialog box will appear requesting confirmation of the action. Select OK to continue.

3. Confirmation of the action will appear on screen.

4. Module Administrator may configure the system to sending a confirmation email to transferring officer.

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Transferring and accepting a register

Transfer a register

A register can be transferred from one user to another in the situation where the owner of a register is going to be unavailable to manage the register either temporarily or permanently (vacation / leaving position).

To transfer a register:

1. Navigate to the register that is required to be transferred Manage > All Registers > View Register > Settings

2. Select the 'transfer to' (new register owner)

3. Select the 'transfer' button

   A system message will display advising the register has been transferred.   The transfer can be cancelled at this point.

Accepting or Rejecting a register

1. Open the Pending transfer screen by clicking on the "to action" section of the Tile from your home screen.
   If there is only one item waiting to action, the Pending transfer screen will open directly. If there are multiple items waiting to action, select the required one from options presented.

2. When accepting a register, a popup will display the issuable forms contained within the register.   These need to be checked against what is physically in the register.

3. Select 'Accept' or 'Reject'

4. Accepting the register will list you as the owner of the register.

5. Rejecting the register will leave the register belonging to the person who requested the register to be transferred.

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Create a New Register when Transferring Forms

1. When transferring a form, click on the "create new register" text next to the Transfer to Register field.

2. Click on the icon in the Register Owner field. In the new dialog box, enter the staff member's name, and click on the Search button, select the appropriate name from the list returned.

3. In the Issue To field, click on the drop-down arrow to select which type of users the register can issue forms to: Internal Staff (organisation employees), External Staff (Any external parties, such as clients or contractors), or Both.

4. On completion of the transfer process, the register will be created.

Closing a Register

When a register is no longer required it may be closed. Only an empty register can be closed: ie: there are no forms left in the register. Registers cannot be deleted.

1. Open the Register.

2. Select the Settings tab.

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3.   Click on the Close Register at the bottom of the screen.

4.   A dialog box will appear asking for confirmation. Click OK to Close the register.

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ISSUING FORMS

Forms can be issued for use. Once a form is issued it must be accepted by the Form User to complete the transaction.

Issuing a form to a Form User

To issue forms, go to the required register by clicking on the Manager Register section of the Tile.

1.   Click on the Issue button.

2.   The Issue screen will appear. Depending upon the type of form selected, and the configuration of the system, the register owner will be required to complete a number of fields.

         - Recipient field is mandatory.
         - Date of Issue field is mandatory – the date can be in the past, but not in the future.

3.   Form field – this is a Mandatory field.
         Your Module Administrator may configure the system to allow multiple forms to be issued to the one user at one time ie several Taxi e-tickets to be issued to one user at the same time. Other forms may be restricted to only allow one form to be issued per user per entry.

         Select the Account Number from the drop down list.

4.   Enter the number, or number range of the forms to be issued, and click on the Populate button. Forms within the range can be de-selected by un-ticking them.
         or
         Click on the Show All button, and de-select the forms not required to issue

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5. If any mandatory fields have not been completed the system will not allow the form to be issued. An error message will appear with the errors listed, as shown below.
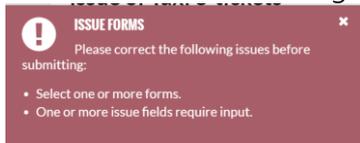
6. Correct any errors before proceeding.

7. Click on the Issue button. A dialog box will appear requesting confirmation. Click on OK to issue the form.

> Note: The Issue is not completed until the recipient Accepts the transfer.

Accepting Issued Forms

An issue of a form is not complete until the recipient has accepted it. The recipient also has the option of Rejecting the receipt of the forms.

To Accept forms:

1. Open the Pending Receipt screen by clicking on the "to action" section of the Tile from your home screen.
   If there is only one item waiting to action, the Pending Receipt screen will open directly. If there are multiple items waiting to action, select the required one from options presented under 'Requiring my action'.

2. Check the form(s) physically received against the form(s) listed on screen.

3. Attach any required documents by Browsing and selecting.

4. Save – allows the information entered to be Saved at any time without submitting the Receipt

5. Select the Accept Receipt button to confirm the transfer of forms in the system.

6. A dialog box will appear requesting confirmation of the action. Select OK to continue.

7. Confirmation of the action will appear on screen.

8. Module Administrator may configure the system to send a confirmation email to transferring officer.

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To Reject forms

1. Select the Reject Receipt to if you do not accept the issue of form(s) in the system.

2. A dialog box will appear requesting confirmation of the action. Select OK to continue.

3. Confirmation of the action will appear on screen.

4. Module Administrator may configure the system to send a confirmation email to transferring officer.

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RETURNING UNUSED FORMS

Some forms may need to be returned to the issuing register because they may not have been used, or they may be reusable.

Returning a Form to the Issuing Register

An unused or reusable form can easily be returned to the issuing Register.

1.   If the form has been configured to be returned on a certain date, you may receive an email reminder to do this. However, whether your system is configured to send reminders or not, the process is the same.

2.   From your In-Tray, select the form to be returned. If you have accepted the form you will be able to locate the accepted form in the 'Completed' section of the In-tray screen.

3.   If the form is a once use only, but has not been used, the green status bar will show the status as "Complete". However, there will still be a Return Unused button at the bottom right hand side of the screen.

4.   If the form is reusable and has been configured to be returned, the green status bar will show "Pending Return". There will be a Return button at the bottom right hand side of the screen.

5.   To return these forms select the Return Unused, or, Return button.

6.   A dialog box will appear asking for confirmation. Select OK to Return.

Note: The Return Process is not complete until the owner of the issuing register "Accepts" it.

Actioning a Returned Form – Issuing Register Owner

This process is to be completed by the owner of the issuing register. They can: Accept or Reject the returned form.

Accepting a Returned Form

1.   Open the Pending Return from your In-tray.

2.   All the information regarding the form is displayed. If everything is acceptable, select the Accept button at bottom of screen.

3.   A dialog box will appear asking for confirmation. Select OK to Finalise the Return process.

4.   The form is now returned to the register for reuse.

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Rejecting a Returned Form

1.   Open the Pending Return from your In-tray.

2.   All the information regarding the form is displayed. If the information is incorrect, in dispute, or not following prescribed organisational processes to the Register Owner's satisfaction, select the Reject button at bottom of screen.

3.   A dialog box will appear asking for confirmation. Select OK to Reject the process.

4.   When a form return is rejected, the form remains with the form holder.

5.   The form also remains active on the Register Owner's screen which allows the Register Owner to perform actions on the form if they choose.

6.   At this stage, the pending action is available to both the issuing register owner and the Form User through the In Progress section of their In-Trays.

7.   There are two options:
      - the Form User can re-open the form and make the required changes and resubmit the form as per the original process described above, or
      - the Register Owner can make the required changes and complete the action themselves.

8.   If the register owner amends the rejected form, they can now Return the form to the Register.

9.   A dialog box will appear requesting confirmation of the action selected. Click on OK to continue.

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RECONCILING FORMS

Some forms may be configured to require reconciling after they are used – typically forms that have an open value until after their use, such as a Taxi e-ticket.

Submitting a Form Reconciliation by a Form User

If you have been issued a form that requires reconciling, you may receive an email reminder if the system has been configured to do so.

If a form is to be reconciled it will display on a Tile on your home screen. It will appear as an In-Progress item until after the due date. After this date is will appear in your To Action items.

1. Open the form through the email reminder (if configured) or through the Tile on the home page.

2. The Pending Reconciliation screen is displayed.

3. All fields entered by the owner of the register will not be able to be edited by the Form User. Only the Reconcile section of the screen will be able to be edited. Complete the Reconcile section of the screen.

4. Save– allows the information entered to be Saved at any time without submitting the Receipt

5. Reconcile Button – click to Reconcile.

6. A dialog box will appear asking for confirmation. Select OK to Reconcile.

Note: The Reconciliation Process is not complete until the owner of the register "Accepts" it.

Actioning a Reconciled Form – Issuing Register Owner

This process is to be completed by the owner of the issuing register once a Reconciled form has been submitted by the Form User, the issuing register owner has two options: Accept or Reject it.

Accepting a Reconciled Form

1. Open the Pending Reconciliation from your In-tray.

2. All the information regarding the form is displayed. If everything is acceptable, select the Accept button at bottom of screen.

3. A dialog box will appear asking for confirmation. Select OK to Finalise the Reconciliation process.

4. The form is now reconciled.

Rejecting a Reconciled Form

1. Open the Pending Reconciliation from your In-tray.

2. All the information regarding the form is displayed. If the information is incorrect, in dispute, or not following prescribed organisational processes to the Register Owner's satisfaction, select the Reject button at bottom of screen.

3. A dialog box will appear asking for confirmation. Select OK to Reject the process.

4. The form remains active on the Register Owner's screen which allows the Register Owner to complete the process if they choose.

5. At this stage, the pending action is available to both the issuing register owner and the Form User through the In Progress section of their In-Trays.

6. There are two options:
   - the Form User can re-open the form and make the required changes and resubmit the form as per the original process described above, or
   - the Register Owner can make the required changes and complete the action themselves.

7. If the issuing register owner amends the rejected form, they can now either select to Reconcile the form.

8. A dialog box will appear requesting confirmation. Click on OK to continue.

9. The form remains active on screen for the issuing register owner to complete the reconciliation process by clicking on the Accept button.

10. A dialog box will appear asking for confirmation. Select OK to Finalise the Reconciliation process.

LOST FORMS

Allows register owners to report lost forms.

Note: If a form user has lost a form, the form must be processed as returned to the issuing register before it can be recorded as lost. The form user should also contact the register owner to advise the form has been lost.

Register Owner Reporting a Lost Form

When a Form User has reported they have lost a form:

Note: If the form user has lost the form, request they perform a return of the form to the issuing register as "Unused" with the circumstances of the loss reported in the comments section.

1.   Go to the Register by selecting the Manage Register option.

2.   Click on the Report Lost button.
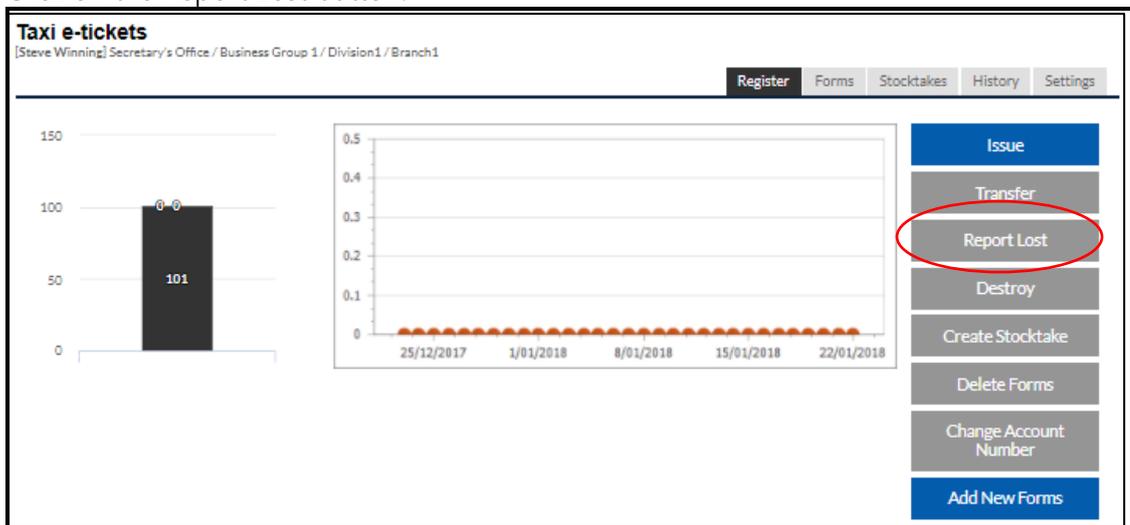
3.   Locate and select the lost form in the Forms section of the screen.

4.   If configured – upload any supporting documents required by Browsing and selecting.

5.   Save Draft– allows the information entered to be Saved at any time without submitting the Lost Report.

6.   Cancel – clears any information entered and returns to the register main screen.

7.   Submit – Click on the submit button when all information has been entered to progress the workflow to the Module Administrator for final processing.

8.   A dialog box will appear asking for confirmation. Select OK to submit.

9.   The Form will be sent to the Administrator Pending Review.

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Finalising a Lost Form by the Administrator

A lost form will be sent to the Module Administrator for review. If configured, they will receive an email advising them that they need to action the lost form. It will appear in the "to action" section of their In-Tray.

A Register Administrator will see the report of a lost form in their "in progress" section of the In-Tray. Opening the in-progress item will allow them to process and finalise the item as well.

1.   Open the form from the In-Tray.

2.   Review the information submitted.

3.   Enter a recommendation in the Administrative Outcome section of the screen.

4.   Upload any relevant documentation by browsing and selecting.

5.   Save– allows the information entered to be Saved at any time without submitting the Lost Report.

6.   Reject – rejects that the form is lost and returns it to the issuing register to be available for reissue.

7.   Confirm Lost – Click on the button when all information has been entered and to void the form. It will no longer appear in the issuing register.

8.   After Rejecting or Confirming Lost - a dialog box will appear asking for confirmation. Select OK to continue the operation.

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DESTROYED FORMS

Allows destroyed forms to be recorded. All destructions require witnessing.

Initiating Destruction by the Register Owner

1. Open the register and click on the Destroy button.

2. Enter the date of destruction.

3. Enter the Account Number (Prefix) and Range and click the Populate button. Alternatively, click on the Show All button and select the appropriate form(s) as required.

4. Enter the circumstances requiring the destruction in the comments field.

5. Select a witness to verify the physical form has been destroyed by clicking on the search icon, typing the person's name and clicking on the search button. Select the person from the list.

6. Upload any supporting documents required by Browsing and selecting.

7. Save Draft– allows the information entered to be Saved at any time without submitting the Destruction request.

8. Cancel – clears any information entered and returns to the Register main screen.

9. Destroy – Click on the Destroy button when all information has been entered to progress the workflow to the Witness for verification of destruction.

10. A dialog box will appear asking for confirmation. Select OK to submit.

11. The request has been sent to the witness requiring verification.

Verification of Destruction by Witness

All destruction of forms requires a witness to verify the destruction of the physical form before the form can be finalised as destroyed in the system.

If configured, the witness will receive an email informing them there is a pending action for the destruction of the form.

1. Open the form through the Accountable Forms In-Tray.

2. Confirm the information on screen with the destroyed form and enter the date the physical form was destroyed and any relevant comments.

3. Upload any relevant documentation by browsing and selecting.

4. Save– allows the information entered to be Saved at any time without confirming the Destruction.

5. Reject Destruction – rejects that the form has been destroyed and returns it to the register to be available for reissue.

6. Confirm Destruction – Click on the button when all information has been entered and the physical form has been destroyed. It will no longer appear in the register.

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7.   After Rejecting or Confirming Destruction - a dialog box will appear asking for confirmation. Select OK to continue the operation.

8.   If configured, the owner of the register will receive an email informing them of the outcome selected.

STOCKTAKE OF FORMS

Stocktakes are a physical count of the forms held by a Register Owner and compared to the number of forms recorded in the Accountable Forms Register by a Checking Officer. There are two types of Stocktakes: Scheduled Stocktakes and Ad hoc Stocktakes.

Conducting the Stocktake

When a Stocktake is required, the Checking Officer may receive an email (if the emails have been configured). A new tile will appear in the Checking Officers home page, as shown below.
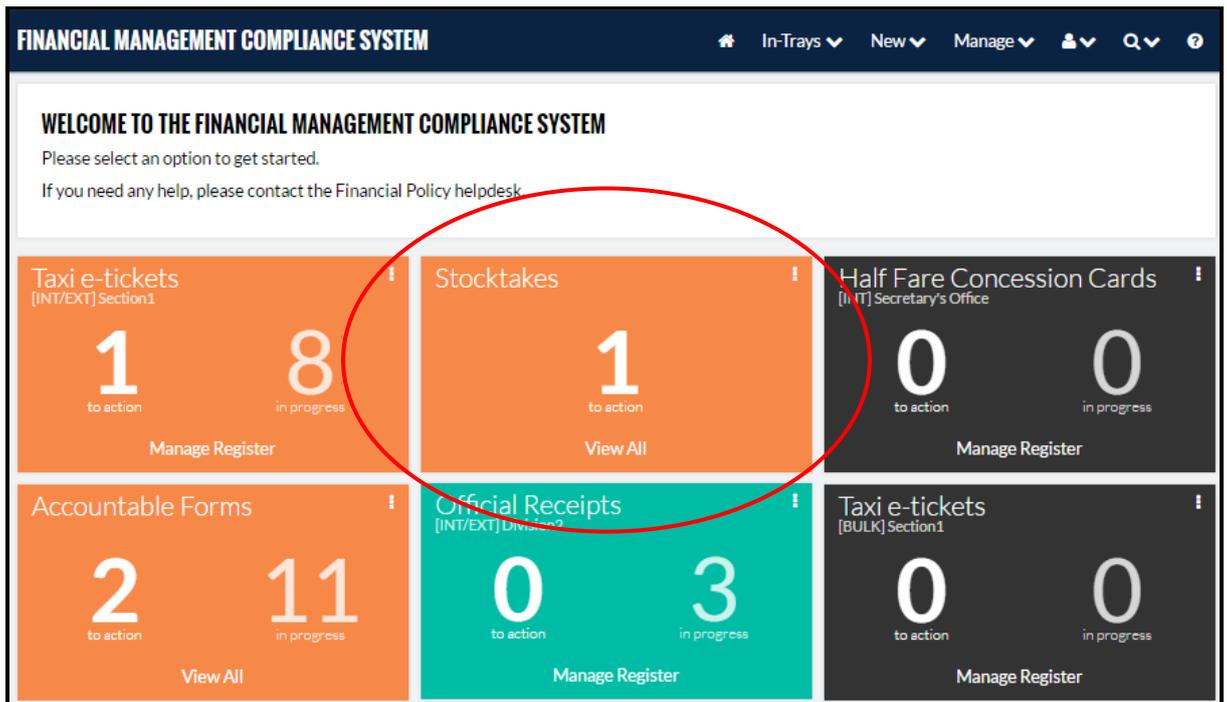
1. Click on the Stocktake tile and enter the Stocktake.

2. Click on the View button to see the number of forms that are in the Register.

3. Enter the number of forms counted in the Count field.

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4.   Add any required Comments.

5.   The Save button allows any information entered to be saved but not Submitted.

6.   Click on the Submit button when the Stocktake is ready to be submitted.

7.   If there is a discrepancy between the Count and what is listed in the Register a warning will appear.

8.   Click OK to proceed.

9.   A dialog box will appear asking for Confirmation when submitting the Stocktake, click on OK to submit.

10.   An email may be sent to the Register Owner advising them of the results of the Stocktake (if configured).

Allocating or Changing the Checking Officer

The first time a stocktake is initiated by an Administrator, or the initial stocktake is Automatically generated, the Checking Officer is unallocated until the Register Owner, or, an Administrator allocates one. The Module can be configured so that if a stocktake has been initiated without a Checking Officer the Register Owner will receive an email prompting them to allocate one.

All subsequent stocktakes will automatically allocate the Checking Officer who last conducted the stocktake.

Below are the instructions to both, allocate and change, the Checking Officer.

1.   Go the Register and click on the Stocktake Tab.

2.   Click on the text - Checking Officer "change".

3.   Enter the officer's name and click on the search button. Select the officer from the names returned in the search. Click on the confirmation OK button.

4.   The Checking Officer will now be allocated or changed for any open surveys.

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Creating an Ad hoc Stocktake

An Ad hoc Stocktake can be requested at any time. The following people can initiate an Ad hoc Stocktake:

- The Register Owner,

- The Register Administrator

- The Module Administrator, or

- The System Administrator.

Creating an Ad hoc Stocktake by the Register Owner

1.   Open the required Register.

2.   To create an initial stocktake on a register, click on the Stocktake Tab, and then select the 'Create new stocktake' link.

3.   A dialog box will appear asking for confirmation to create a stocktake. Click on OK to continue.

4.   The system will prompt to nominate a checking officer. Click on the text "Change" next to the Checking Officer. Start typing the Officer's name and then click on the Search Button. Select the required officer from the list presented. A dialog box will appear asking confirmation of the Checking Officer. Click OK to continue. The Officer may receive an email informing them of the stocktake allocated to them (if configured).

5.   A quick way to create subsequent Ad hoc stocktakes is to click on the Create Stocktake button from the Register's main screen.

6.   This will create a new stocktake using the same Checking Officer as selected last stocktake.
A dialog box will appear, requesting confirmation to continue to create the Stocktake – Click OK to continue.
Note: If there is already a Stocktake pending, an error message will be displayed and the Stocktake will not be created.

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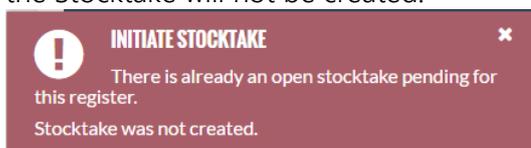
Creating an Ad hoc Stocktake by the Register/Module/System Administrator

These Administrators can create Ad hoc Stocktakes for any Register.

1.   Open System Settings menu and select the Accountable Forms option.
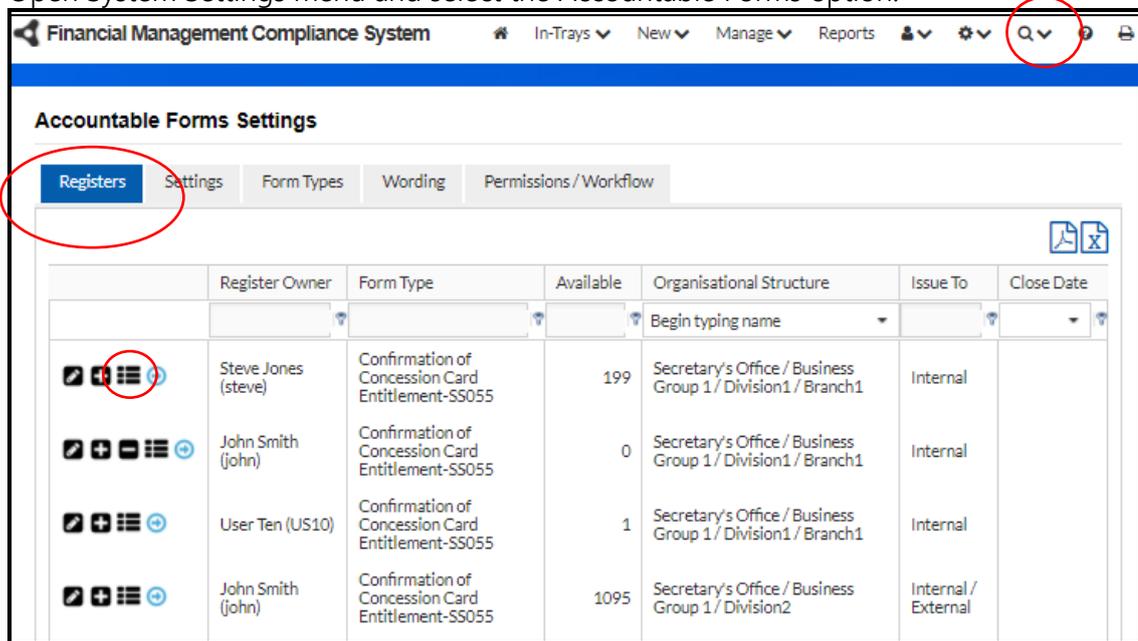
2.   Go to the Registers Tab, and select the Stocktake icon .

3.   A dialog box will appear requesting confirmation of the Stocktake. Click OK to continue.

4.   A new Stocktake for that Register has been created.

> Note the Rules and instructions on allocating or changing a Checking Officer

Creating Regular Automatic Stocktakes by the Administrator

The System Administrator can set regular automatically occurring stocktakes of all registers.

See System Settings for Instructions on Automatic Stocktakes.

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REPORTS

Several reports can be produced from the Accountable Forms Module. However, you will only have access to Reports if the Module or System Administrator has given you permission. See Section on System Settings - Permissions.

To access Reports, select the Reports Menu, and the Accountable Forms Tab.

Note: you will only see those Tabs that you have been given permission to access.
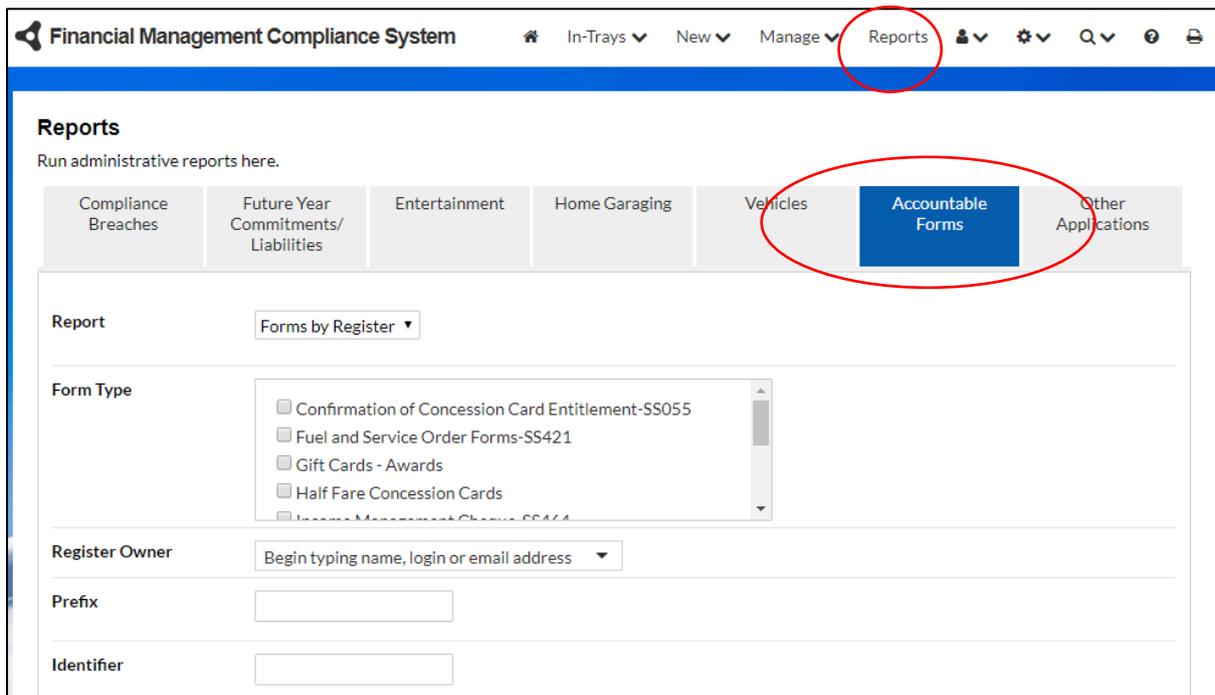
There are three types of Reports: Forms by Register, Issued Forms, and Stocktake.

Forms by Register: will generate a report on all forms grouped by registers that satisfy the filters applied.

Issued Forms: will generate a report on all forms that have been issued to form users that satisfy the filters applied.

Stocktake: will generate a report on Stocktakes that satisfy the filters applied.

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Configure your report by using the filter fields provided. Filters are cumulative: that means that the more filters entered the more specific the report will be. Leave a field blank to include all forms in that group. Depending upon the report type selected, some filter options described below will not be available.

Form Type:
Select the form type to report on from the drop-down list. Some report types allow multiple form types to be selected.

Register Owner:
To limit the report to one Register Owner only, type in their name, login or email address.

Prefix:
To limit the report to forms with a specified prefix only, enter the prefix here. (Note: the name of this field is configurable and may be called something in other parts of the system.)

Identifier:
To limit the report to a form with a specific identifier, enter the number here. (Note: the name of this field is configurable and may be called something in other parts of the system.)

Issue Date:
To limit the report to a specific date range of when the form was issued to a Form User.
Last Fin Year | Current Fin Year are quick entries for enter whole financial years – Last and Current.

Transfer Date:
To limit the report to a specific date range of when forms were transferred between registers.
Last Fin Year | Current Fin Year are quick entries for enter whole financial years – Last and Current.

Destroyed Date:
To limit the report to a specific date range of when the forms were destroyed.
Last Fin Year | Current Fin Year are quick entries for enter whole financial years – Last and Current.

Reported Lost Date:
To limit the report to a specific date range of when the forms were reported Lost.
Last Fin Year | Current Fin Year are quick entries for enter whole financial years – Last and Current.

Created Date:
To limit the report to a specific date range of when the stocktakes were initiated.
Last Fin Year | Current Fin Year are quick entries for enter whole financial years – Last and Current.

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Checked Date:	To limit the report to a specific date range of when the stocktakes were checked or completed. Last Fin Year | Current Fin Year are quick entries for enter whole financial years – Last and Current.
Checking Officer:	To limit the stocktake report to one Checking Officer only, type in their name, login or email address.
Outcome:	To limit the stocktake report by outcome.

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CONFIGURING THE ACCOUNTABLE FORMS MODULE

Both Accountable Forms Module and System Administrators can configure all aspects of the Accountable Forms Module. Register Administrators can access the Register Settings only.

The System Administrator can give permissions to other users to be Module or Register Administrators.

Configuration settings are accessed through the Setting Menu, and then selecting the Accountable Forms option.
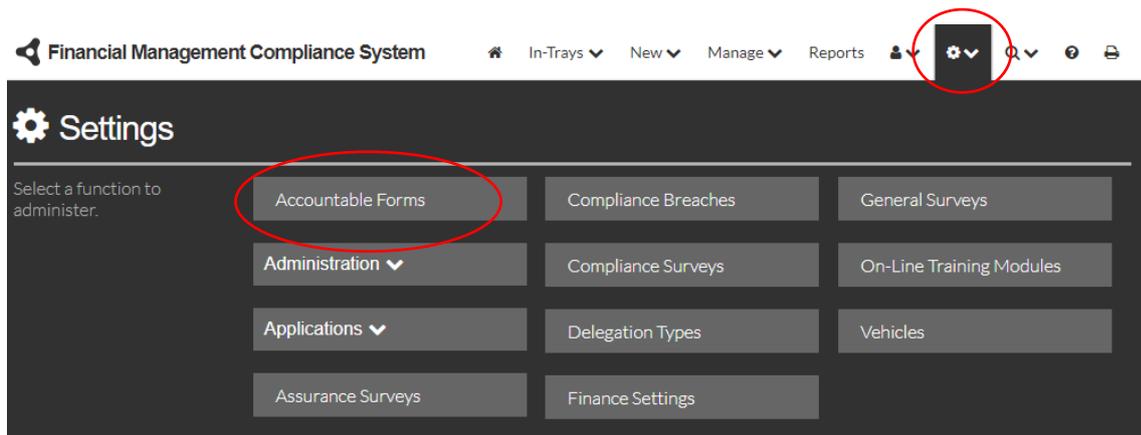
Register Settings

System, Module and Register Administrators can access these settings.
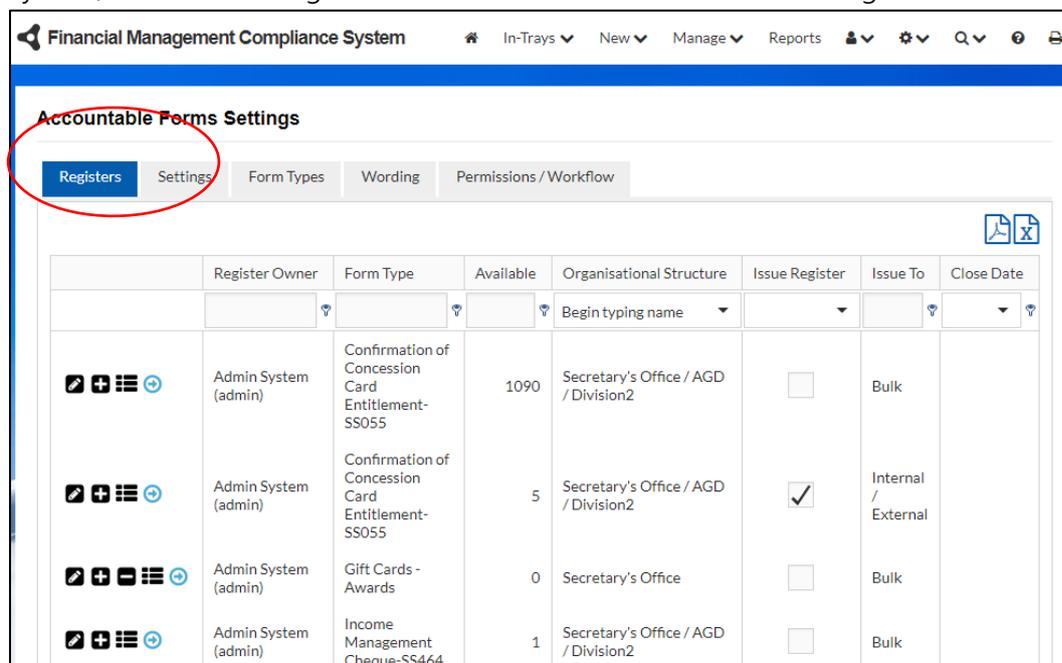
Above is an example of the Register Summary screen displaying the different registers. Each column indicates the options selected for the Register as detailed below.

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From here Administrators can:

➕   Create new Registers

✏️   Edit existing Registers

➡️   View the Register (This also allows Administrators to access the registers to manage them on behalf of the register owners.

☰   Initiate an Ad hoc Stocktake on a register.

Creating and Editing a Register

An Administrator can create a new register by clicking on any of the create icons.

An Administrator can edit an existing register by clicking on the edit icon for the register to be edited.
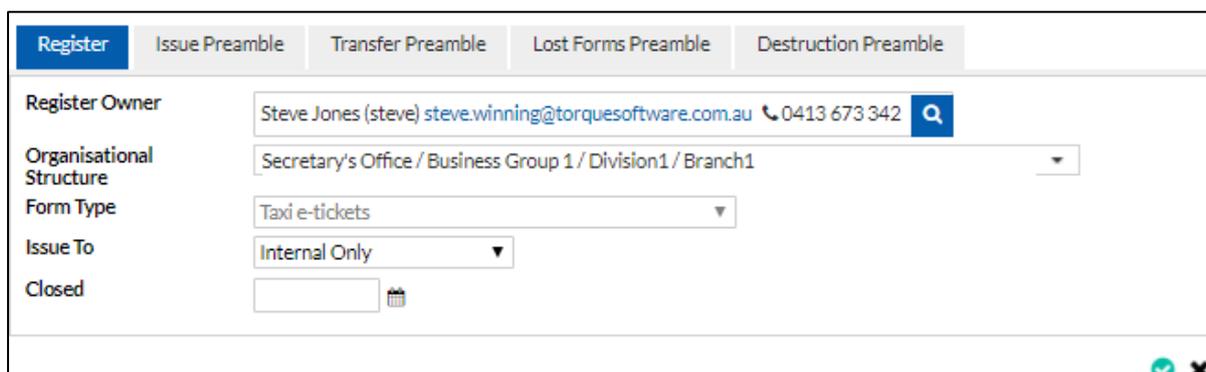
| Register | Issue Preamble | Transfer Preamble | Lost Forms Preamble | Destruction Preamble |

Register Owner: Steve Jones (steve) steve.winning@torquesoftware.com.au ☎ 0413 673 342 🔍

Organisational Structure: Secretary's Office / Business Group 1 / Division1 / Branch1 ▼

Form Type: Taxi e-tickets ▼

Issue To: Internal Only ▼

Closed: 📅

Register Owner: To enter, or edit, a register owner click on the search icon. Enter the person's name (or part thereof) and click the Search button. Select the relevant name from the list provided. Click the OK button to confirm.

Organisation Structure: To enter or edit the Organisational Structure click on the drop down arrow. Use the expand arrows to drill down to the level required.

Form Type: Form Type is display only and cannot be changed.

Issue To: Select who the register can issue forms to. Internal, external or both.. .

Closed: To close a Register – enter the effect date here.

Issue Preamble: The Issue Preamble is the text that appears at the top of the main screen of the register.
To create or edit the Issue Preamble click on the tab. There are a number of format options available, including hyperlinking.

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Transfer Preamble:	The Transfer Preamble is the text that appears at the top of the main screen of the Transfer Register. To create or edit the Issue Transfer click on the tab. There are a number of format options available, including hyperlinking.
Lost Forms Preamble:	The Lost forms Preamble is the text that appears at the top of the screen when the Register Owner reports a lost form. To create or edit the Lost forms Preamble click on the tab. There are a number of format options available, including hyperlinking.
Destruction Preamble:	The Destruction Preamble is the text that appears at the top of the screen when the Register Owner requests a form destroyed. To create or edit the Destroyed Forms Preamble click on the tab. There are a number of format options available, including hyperlinking.

Important: To save information entered click on the Tick button, to cancel the information entered click on the X button.

View the Register (including managing the Register)

The Administrators can view and manage the Registers on behalf of the Register Owners by clicking on the View icon of the Register required.

Initiate a Stocktake

The Administrators can initiate a Stocktake for a Register by clicking on the Stocktake icon of the Register.

The Stocktake will initiate immediately after the action has been confirmed (by clicking on the OK button). The Checking Officer cannot be selected through this function. If it is a first stocktake, the Checking Officer will remain blank. If it is a subsequent stocktake the system will default to the last used Checking Officer.

The Register Owner (or Administrator through the View Register option described above) will need to allocate or change the Checking Officer.

Settings

The Module or System Administrator can limit the number of forms that can be received into a Register by the register owner and an administrator.
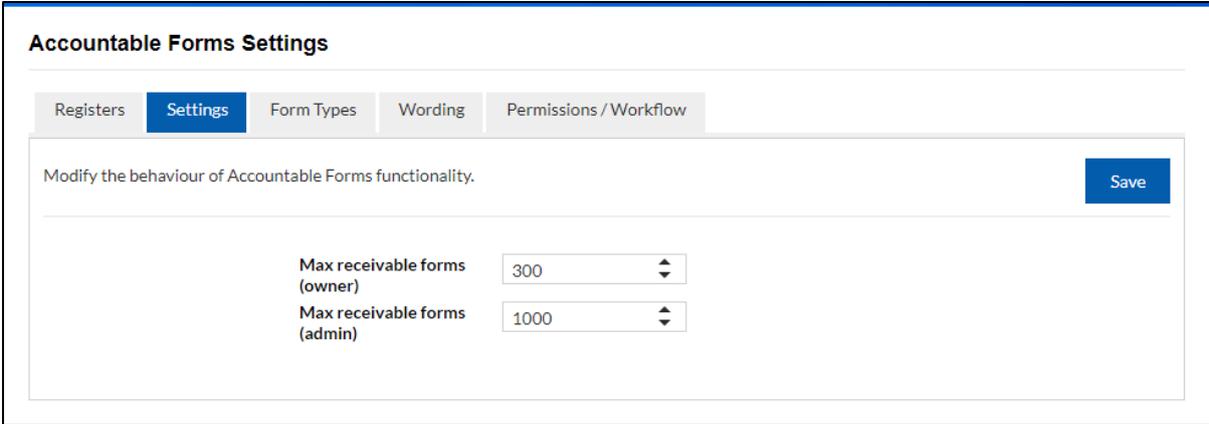
Form Types

Module and System Administrators can set up and manage form types and their properties.

Form types describe the attributes of the different physical forms used by the organisation, such as: taxi e-tickets, manual cheques etc.
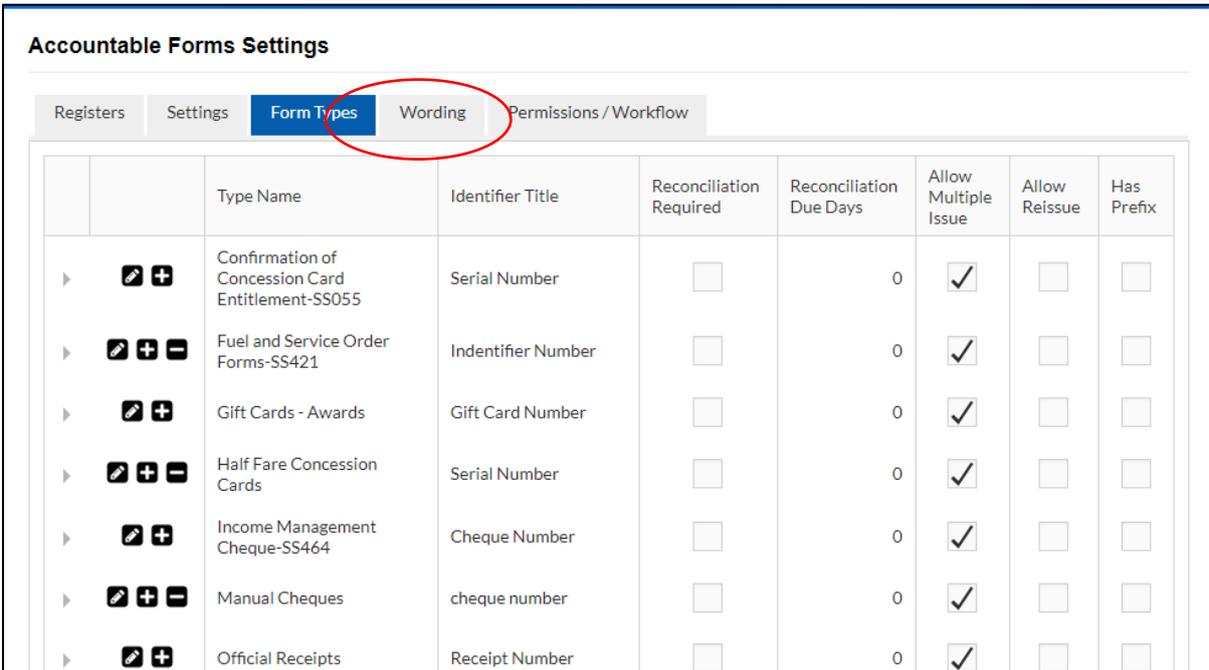
Above is an example of the Form Types Summary screen displaying the different forms. Each column indicates the options selected for the form as detailed below.

Administrators can: create, edit and delete form types

To create a new Form Type click on any of the new icons ➕.

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To edit an existing Form Type click on the edit icon for that form ✏ .

Once you click on the New or Edit icons, the properties that can be allocated to a form are displayed as illustrated below.
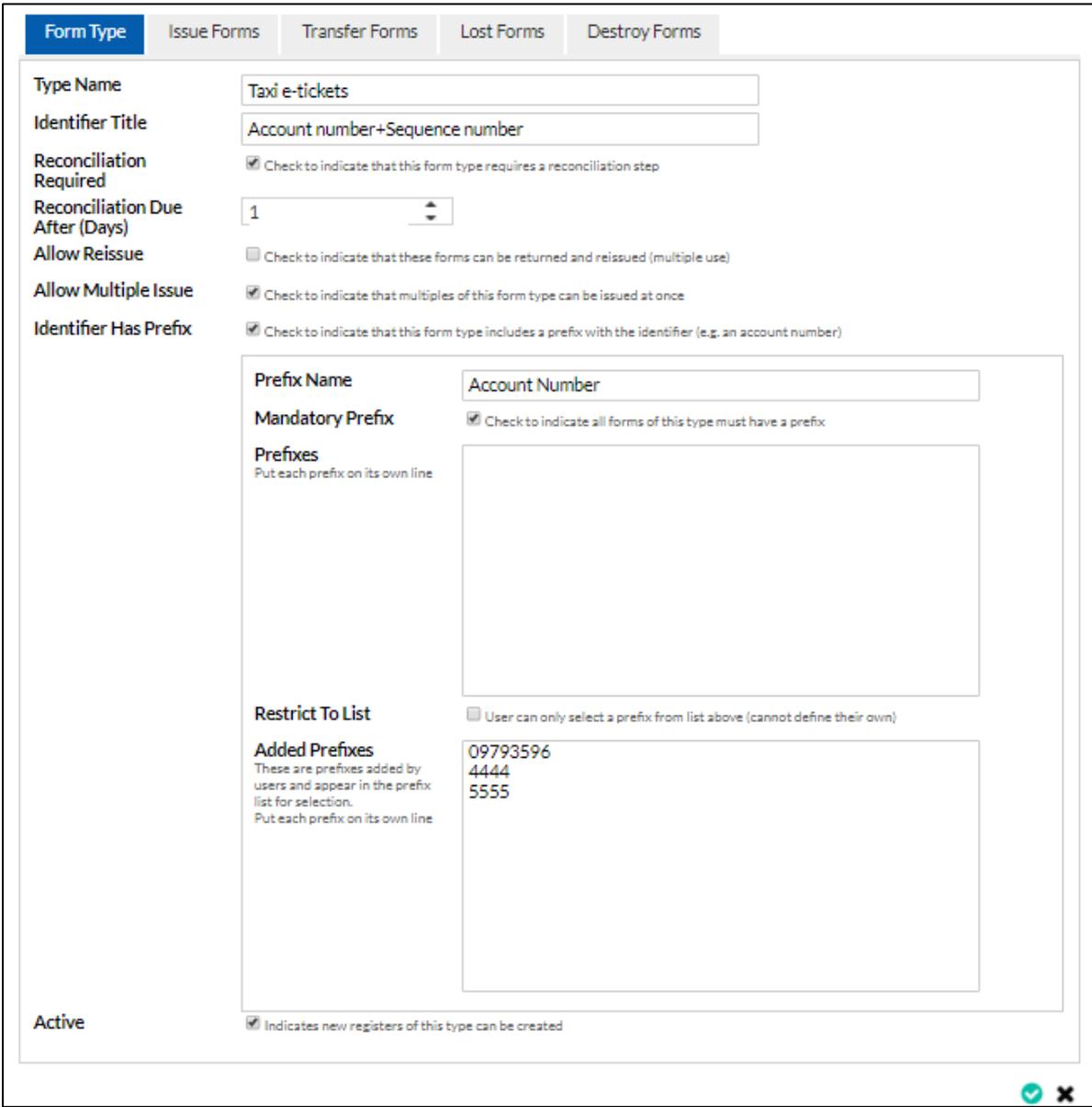
Type Name   The name of the form.

Identifier Title   Name of the unique number to identify individual forms.

Reconciliation Required   Tick to apply the conditions to require the form to be reconciled after use. Typically, this would apply to forms that are issued without a set monetary value – such as manual cheques or taxi e-tickets.

Allow Reissue   Tick to allow the form to be reissued. This may apply to forms that are reusable.

Allow Multiple Issue	Tick to allow more than one form of this type to be issued to a user at the same time.
Identifier has a prefix	Tick to indicate that part of the unique identifier number of the form has a prefix. Once this is ticked, the system will present a number of options for the properties of the prefix. If the form type uses a prefix, the combination of the prefix and identifier uniquely identifies a form.
Prefix Name	The name that applies to prefix, such as the account number on a manual cheque, or a batch number, or a run code.
Mandatory Prefix	Tick to make the use of the prefix mandatory.
Prefixes	A set number of acceptable prefixes can be listed. List each prefix on a separate line.
Restrict to List	Tick this box to limit the forms to the Prefix numbers entered above. Leave the box unticked to allow register owners to enter more prefix numbers as they receive new forms.
Added Prefixes	As register owners add new prefix numbers (if this has been allowed – see Restrict to List) the new numbers will be recorded here.
Active	Indicates the form type is still in use. Uncheck for form types no longer in use. Unchecking will have the following effects for the form type;

- New registers will not be able to be created, either via the New > Accountable Form Register menu item or via the issue form process
- New forms will not be able to be added via the Add New Forms process

However, all other functionality will be available.

Issue Forms Tab	Enter the information to be displayed at the top of the screen when the register owner issues this form to a Form User. To create or edit the Issue Forms Preamble click on the tab. There are a number of format options available, including hyperlinking.
Transfer Forms Tab	Enter the information to be displayed at the top of the screen when the register owner transfers this form to other registers. To create or edit the Transfer Forms Preamble click on the tab. There are a number of format options available, including hyperlinking.
Lost Forms	Enter the information to be displayed at the top of the screen when the register owner reports a form lost in their register.

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To create or edit the Lost Forms Preamble click on the tab. There are a number of format options available, including hyperlinking.

Destroy Forms

Enter the information to be displayed at the top of the screen when the register owner applies to have a form destroyed.

To create or edit the Destroy Forms Preamble click on the tab. There are a number of format options available, including hyperlinking.

Important: To save information entered click on the Tick button, to cancel the information entered click on the X button.

Wording of Declarations

Various declarations can be configured by Module and System Administrators.

There are a number of format options available for entering information, including hyperlinking. The declarations can be viewed in Design view, HTML view and Preview View. Information can be copied and pasted from other documents.

Register Declaration   The declaration Register owners must agree to when creating new registers.

Stocktake Preamble   The information displayed when a new stocktake is initiated.

Wording   The name on the label of the External Party when issuing forms.

Important: To save information entered click on the Save button.

Permissions / Workflow

Permissions and Workflow settings are controlled from the same page 'Permissions/Workflow'. On this page you can;

1. Assign / Modify module permissions
2. Configure email notifications and modify the email content
3. Schedule email notifications

Permissions

In this section permissions are assigned to control how various groups of users will have access to functions within the Accountable Form module. Permissions are assigned by first creating a group then assigning the group to the relevant function. Refer to section 'Managing Groups' to create a group. The following Permissions exist for the Accountable Forms module;

- Module configuration allows the group of users to administer the Accountable Forms module configuration.

- Register Administrators allows the group of users to access the 'Register' functions within the settings. This allows the user to view, create new and edit registers.

- Processing team – The group when selected will be notified and required to process lost forms and be notified of stocktake discrepancies. The Process Team will able be able to Search for, View and Report upon all Accountable Forms transactions.

Note: Before you can assign users to perform roles you will need to setup the relevant group (one or more users that perform the same tasks). For information on setting up Groups see Managing Group.

Assign the group to each of the functions by selecting the drop down box and select the group to be assigned.

Once the groups have been selected, select the 👁 icon at the end of the field to display the users that make up the selected group.

A Systems Administrator can give other users (or groups of users) permission to be System Administrators and/or the Process breaches recording in the module

Workflow

Workflow is the set of notifications that control communication in the Accountable Forms module. Here you can manage the conditions emails are sent under and to whom emails are sent to. These rules can be turned on or off to suit your organisation.

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Editing the notification emails

The notification emails are divided into two sections 'Register' and 'Stocktake'.
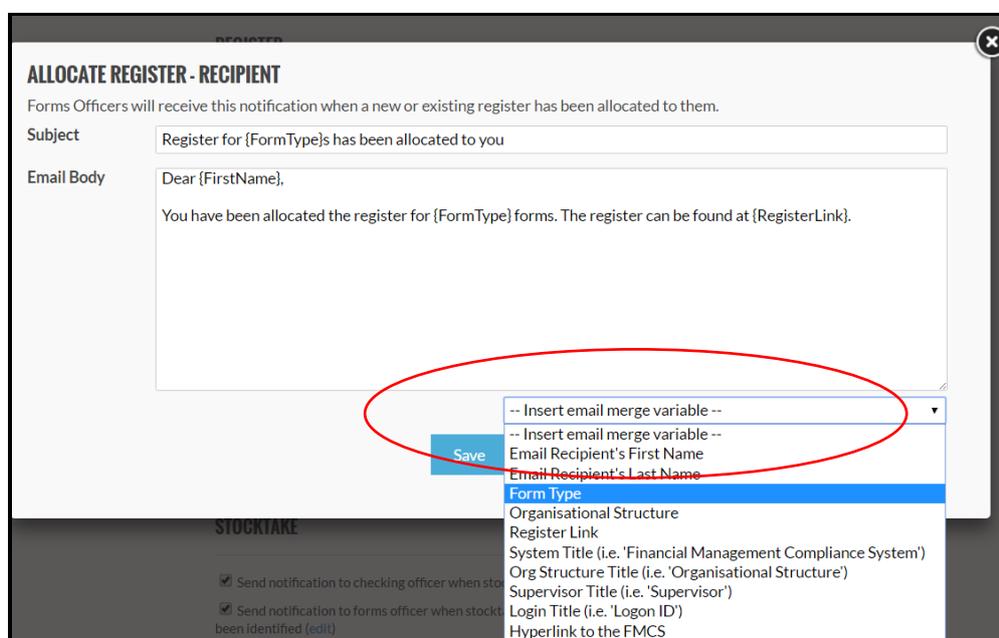
Register and Stocktake email notifications control notifications based on respective Register and Stocktake transactions occurring.

The majority of email notifications are turned on by default and contain the default notification setup.

To stop an email notification from being used deselect it using the checkbox that relates to the template and select the save button.

To modify the email content for any of the notifications;

1. Click on the blue text at the end of notification description (edit).

2. A pop up box will appear displaying the content of the default email.

3. Text displayed in parenthesises { } are merge fields that can be selected by using the list in the Insert email merge variable field.

4. Type the required message to be sent for the notification and click on the Save button.

Workflow notifications for the Registers explained

Send notification to register owner on allocation – tick to send an email to a new register owner when a register has been created or allocated to them.

Send notification of register allocation outcome – tick to send an email to the previous register owner, or creator, when the owner has accepted or rejected ownership of the register.

Send notification to recipient on issue – tick to send an email to a recipient Form User when a form(s) have been issued to them.

Send notification to recipient when reconciliation is due – tick to send a recipient Form User a reminder email when a reconcilable form is due to be reconciled (See Section on Reconcilable forms, and Section on when reconciliation is due).

Send notification to register owner when reconciliation is complete – tick to send an email to the register owner when the Form User has submitted a reconciliation.

Send notification to recipient on transfer request - tick to send an email to a recipient register owner when forms are being transferred to them from another register.

Send notification to initiator on transfer outcome - tick to send an email to transferring register owner when the recipient has accepted or rejected the transfer.

Send notification to administrator inbox when forms have been lost – tick to send an email to System Administrator when register owner has Reported a Form Lost.

Send notification to module administrator inbox when forms have been lost – tick to send an email to the Module Administrator (if Module Administrators have been set up) when register owner has Reported a Form Lost.

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Send notification to initiator of the outcome of lost forms – tick to send an email to the register owner who reported a lost form of the outcome once the administrator has actioned it.

Send notification to witness to confirm when forms have been destroyed – tick to send an email to the person who witnessed the physical destruction of a form Reported as Destroyed.

Send notification of form destruction outcome – tick to send the register owner confirmation by the witness of outcome of the Form Destruction.

Important: To save information entered click on the Save button.

Workflow notifications for Stocktakes

To create Automatic stocktakes configure this section of the Settings – Workflows.

Note the rules and instructions on allocating and changing a Checking Officer.

Send notification to checking officer when stocktake is required – tick to send an email to the nominated checking officer when a stocktake has been initiated.

Send notification to forms officer when stocktake is required and no checking officer has been identified – tick to send the Register Owner and email if a stocktake of their register has been

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initiated but no checking officer has been allocated – such as the first time a stocktake is initiated and no default is available. This should warn them that they need to allocate a suitable checking officer.

Send notification when stocktake is complete – tick to send an email to the register owner when the stocktake is complete.

Send notification to the administrator inbox when stocktake includes discrepancies – tick to send an email to the System Administrator when there are discrepancies in the stocktake.

Send notification to the module administrator inbox when stocktake includes discrepancies – tick to send an email to the Module Administrator (if Module Administrators have been set up) when there are discrepancies in the stocktake.

Automatic Stocktakes – tick to set up regular automatic stocktakes on all form registers. Once this box is ticked cycle options become available to configure.

Cycle Start – use the calendar to set the date to start automatic stocktakes.

Cycle Frequency – use the numerical field and the period field to define how often automatic stocktakes are to occur. Once the amendments have been saved, the next stocktake will be displayed according to the selected start date and frequency applied.

Reminders – determine how often reminder email are to be sent regarding incomplete stocktakes.

Important: To save information entered click on the Save button.

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