Fiscal Year End (FYE) Update

Agency Checkpoint Conference Call
Wednesday, March 5, 2014
Agenda

- Pre Fiscal Year End
- OSC/SFS Fiscal Year End Activities
- Post Fiscal Year End
What Agencies need to do Pre-Fiscal Year End

- Resolve budget exceptions on transactions so that they can move forward to completion.

- Approve transactions through the highest agency level so the transactions move forward to OSC for approval.

- Find transactions lost in the workflow and take the proper action to move the transaction forward in the workflow. Determine the root cause of workflow problems and resolve.
Why is it important to resolve budget exceptions and move transactions through the workflow at FYE?

- Transactions with budget errors may result in agencies losing money in their budgets as transactions with errors cannot roll over into the new fiscal year.
- Many transactions that are not successfully budget checked and fully approved by OSC by the end of the fiscal year will be denied or deleted causing re-work at the agencies.
- SFS/OSC will work to resolve any outstanding transactions that have budget errors to return funding back to the budget where possible. However, this work can result in an extended blackout period.
Pre-FYE Budget Journals Pending in Workflow

Agency Actions

Review the following report:

  
  - Allows Agency to monitor the amount of budget journals and corresponding amounts that are in pending approval status (in-flight)
  
  - Calculates available balance if journal is approved thru workflow and posted
Agency Actions

  - Provides information on where a journal is in workflow

- Agencies can reference the following Job Aids for more information:
  - **JAA-WFA000-001** Workflow Business Process Reference for Agency Workflow Administrators
  - **JAA-WF201-005** Review Work Items Via Context
Agency Actions

Review the following report:

- **POS8002 Requisition Budgetary Activity Report**: Shows requisitions for a BU containing a chartfield value (default is Account) on the requisition distribution line. This report displays Original Requisition Amount, Liquidated Requisition Amount, Remaining Requisition Amount and PO Amount. (Navigation: SFS Applications > SFS Financials > Purchasing > Purchase Orders > Reports > Req and PO Budgetary Activity > Procurement Budgetary Activity)

- Workflow Administrators can view Requisitions in Workflow by navigating to SFS Applications > SFS Financials > Set Up Financials/Supply Chain > Common Definitions > Approvals > Monitor Approvals. Job Aid [JAA-WF201-004 Reassigning Requisition Documents for Approval](#) provides specific instructions for how Agencies can search for all of their Requisitions currently pending in Workflow by Business Unit. It also advises users how to reassign if needed to correct workflow.
Pre-Fiscal Year End Requisition Close

- On Saturday 2/8/14, SFS closed Requisitions fully sourced to Purchase Orders

- Approved **requisitions NOT sourced to a Purchase Order** were **NOT** acted upon by SFS.

- On Saturday 3/22/14, SFS will finalize or close partially sourced and fully sourced Requisitions. SFS will also cancel all Requisitions in open, pending and denied statuses.

- SFS is reaching out to Agency Coordinators requesting agencies take action to clear budget exceptions for specific Requisitions. These Requisitions require action by your agency by **Wednesday March 26, 2014**.

- Please direct all questions related to this task to the SFS Helpdesk ([HelpDesk@sfs.ny.gov](mailto:HelpDesk@sfs.ny.gov)) and include “Fiscal Year End (FYE) Requisition Clean Up” in the subject line of the email.
Pre-Fiscal Year End Purchase Orders

Agency Actions

Review the following report:

- **POS8001 Procurement Budgetary Activity Report**: Shows POs for a BU containing a chartfield value (default is Account) on the PO distribution line. Run with PO Amount > $0 to find open POs. **(Navigation: SFS Applications > SFS Financials > Purchasing > Purchase Orders > Reports > Req and PO Budgetary Activity > Procurement Budgetary Activity)**

- **Queries to Run in Query Viewer**
  - **NY_PO_WFADM_BU**: Shows POs lost in workflow/at WFADM
  - **NY_PO_REMOVEDUSRWL_BU**: Shows POs in an inactive employee’s worklist
  - **NY_PO_NEXT_APPROVER_BU**: Shows “In-flight” POs
Closed Purchase Orders

- SFS completed the Pre-FYE PO Close Process in Production on Saturday 2/2/14 and will close POs again in March.

- Purchase Order Close Criteria is:
  - Disbursement amount is $\geq$ PO Amount, no associated in-flight vouchers exist
  - Disbursement Amount is $<$ PO Amount - but the PO is fully liquidated and no associated in-flight vouchers exist
  - POs liquidated by quantity and no remaining encumbrance exists

- Just as in Lapsing: agencies cannot transact against Closed POs. Completed / Closed POs cannot be reopened.
Pre-Fiscal Year End PO Close

Viewing Closed POs

- **Navigation**: SFS Financials > Purchasing > Purchase Orders > Review PO Information > Purchase Orders

![Purchase Order Inquiry](image)
The SFS Program has identified multiple Purchase Orders (POs) that will not be picked up in the Fiscal Year End (FYE) rollover process and that require agency action. If agencies do not act upon these POs, agency budgets could be at risk after April 1, 2014.

SFS is reaching out to Agency Coordinators requesting agencies take action to clear budget exceptions for specific POs. These POs require action by your agency by Wednesday March 26, 2014.

Please ensure that your Agency’s PO Processors are aware of the actions required to ensure that all required POs will roll over into the new Fiscal Year as indicated above.

Please direct all questions related to this task to the SFS Helpdesk (HelpDesk@sfs.ny.gov) and include “Fiscal Year End (FYE) PO Clean Up” in the subject line of the email.
Pre-Fiscal Year End Vouchers

Agency Actions

Review selected reports:

- **NYAP3213 Vouchers Ready for Approval Workflow** (Navigation: SFS Reports > Accounts Payable > Voucher)

- **NYAP3312 In-Flight Voucher Approval Workflow**: Lists Voucher transactions in all stages of approval. (Navigation: SFS Reports > Accounts Payable > Voucher)

- **Queries to Run in Query Viewer**
  - **NY_VCHR_REMOVEDUSRWL_BU**: Vouchers in an inactive employee’s worklist
  - **NY_VCHR_WFADM_BU**: Vouchers lost in workflow/at WFADM
Agency Actions

Review selected reports:

- **NYEX3770 Business Purpose Report**: Shows you the Document Status and Latest Submission Date by Business Purpose 
  (Navigation: SFS Reports > Travel & Expense > Expense)

- **NYEX3237 Expense Document Aging Report**: Reports all Travel Authorizations and Expense Reports from a selected Business Unit, Department, Employee (Name), Document Type, Status, and/or Business Unit (Navigation: SFS Applications > SFS Financials > Travel and Expenses > Process Expenses > Expense Document Aging)

- **Query to Run in Query Viewer: Travel Next Approver by BU**: NY_TRAVEL_NEXT_APPROVER_BU Lists Expense transactions in stages of approval by GLBU.
Pre-Fiscal Year End Credit Cards

Review the following report:

- **PCard/NET Card Reconciliation**
  - Agencies need to reconcile PCard transactions promptly.
  - Use the PCard / NET Card Aging Report to view unreconciled transactions *(Navigation: SFS Applications > SFS Reports > Purchasing > Card > NYPO3593)*.

- **Travel Card Transactions**
  - NYEX3771 Travel Card Aging Report: Lists Travel Card transactions in all stages of approval. *(Navigation: SFS Applications > SFS Financials > Travel and Expenses > Manage Employee Information > Travel Card Aging Report)*
P/NET Cards

- SFS will suspend running the Load Voucher Stage Program after March 15, 2014 – April 2014.
- This change will apply to all agencies except DOCS. (DOCS runs Load Voucher Stage by individual credit cards on a different schedule).
- Currently SFS automatically performs Load Voucher Stage twice every week on the SFS Batch Schedule for all agencies reconciling P/NET cards on-line.
- Agencies may continue to run Load Voucher Stage manually as needed.
P/NET Cards

This change was requested by the Business Service Center (BSC) in order to minimize re-work associated with re-approval of credit card charges reset to a verified status as part of FYE Voucher Deletion. Suspending the Load Voucher Stage process allows the charges to remain in an approved status post FYE.
For new fiscal year 2014-15, agencies currently using Agency KK will need to reestablish budgets in order to process transactions against Agency KK definitions. SFS recommends agencies review the GLS8020 to determine amounts of Agency KK budgets to reestablish.

**GLS8020 Budget Status Report:** Provides Budgetary Chartfield strings, and the following amounts:

- Budget
- Associated Revenue
- Pre-encumbrance
- Encumbrance
- Expense
- Remaining Balance (Budget – Encumbrance – Expense)

**Navigation:** SFS Financials > Commitment Control > Budget Reports > Budget Status Report
Agencies can get a head start in preparing Agency KK Budget Journals by using the SFS Excel to CI Upload:

- **Excel to CI Resources** *(Navigation: SFS Home > User Resources > Chart of Accounts and Commitment Control Toolkit)*

- Related Job Aid: **JAA-KK000-003 Excel to CI Agency Budget Journals** *(SFS Home > User Resources > Training Toolkit > Job Aids)*

**OR** in the new fiscal year,

1. Agencies can enter journals online or use Copy Budget Journal Functionality
2. Bulkload budget journal entries
If Agency KK budget error transactions are still open on 3/31/14, Agency KK budgets will be set to track without budget or control to enable OSC budget override on the last day.
SFS will clone Production on 3/31/14 after OSC completes FYE processes.

SFS will make Production data available in an Inquiry Only Environment on BOB Thursday 4/3/14 for inquiry and viewing purposes only.

- SFS will provide access to this inquiry/read only environment via a link on the SFS website.
- SFS will provide access to this inquiry/read only environment via a link on the SFS website.
- SFS will notify agencies when this environment is available.

All Book of Record Reports will be available once the cloned Environment is available.

Agency users will be able to login with their SFS Production login credentials.
Important notes about the Agency user lockout for FYE:

- Agency Security Administrators (ASAs) have until close of business on Thursday 3/27/14 to submit access requests using ASA self-service. After this date/time, no access requests will be processed until FYE processing is complete.

- Password reset requests for SFS Production submitted during the lockout timeframe will be marked as Resolved, with a standard response about the environment being down until FYE processing is complete.

- Employee Data and Credit Card Administration updates must be held during the lockout timeframe until FYE processing is complete.
Access to SFS / eSupplier

Vendor Self-Service / eSupplier will continue to be available to Vendors to:

- Inquire into Purchase Orders, invoices and payments
- Add / delete / update delegated users
- Add / delete / update addresses in the Vendor portal
# OSC/SFS Fiscal Year End Activities

## OSC/SFS actions during Blackout Period

- OSC will deny expense reports that have not been approved by OSC.
- OSC will delete all vouchers that have not been approved by OSC.
- OSC will delete GL journals that have not been approved by OSC.
- SFS will close POs that meet the PO Close Criteria.
- SFS will close POs with budget exceptions to return the funding back to the budget where possible.
- SFS will roll the remaining POs to the new year. These POs will have a new Distribution Line against Budget Period 2014-15 for the remaining encumbrance. Bulkload agencies not maintaining their own Distribution Line Numbers will have their POs and vouchers automatically applied to the new Open Distribution Lines.
- SFS will finalize or close any new partially sourced Requisitions. SFS will also cancel all Requisitions in open, pending and denied statuses. Fully sourced Requisitions will also be closed.
- SFS will perform the **Lapsed Appropriation Document Closure process**, closing / cancelling / deleting GL Journals, Vouchers, Expense Reports, Travel Authorizations, Purchase Orders and Requisitions that charge an appropriation that is lapsing as of 3/31/14.
OSC/SFS Fiscal Year End Activities

**OSC/SFS actions during Blackout Period**

OSC/SFS will close the eligible appropriation budgets that lapse as of 3/31/14.

Approved Requisitions **NOT** sourced to a PO will be re-set with a Budget Date period, and the associated pre-encumbrances will be re-established in the new fiscal year. Agencies can source these approved Requisitions to POs in the new fiscal year.

SFS will update the budget date for all rolled POs.

SFS will update the budget date and accounting date for all Travel Authorizations in SUB, APR, and PAR statuses, and the associated pre-encumbrances will be re-established in the new fiscal year. Agencies can continue to process these Travel Authorizations in the new fiscal year.

All in process Expense Reports denied by OSC will be returned to the Travel Users/Proxies and the budget date and accounting date will be updated to 4/1/14.

SFS will reset P/NET card transactions related to deleted reconciliation vouchers to a “Verified” status so Agencies are able to change the chartfields. SFS will also update the Budget Date to a date within the new fiscal year.
FYE Interagency Vouchers: WILL be Deleted

- Interagency vouchers that **WILL** be deleted include the following statuses:
  - Entry Status = Postable (no longer Recycled) **AND**
  - Approval Status = Pending Approval (NOT approved by the final OSC Date; includes denied and rejected vouchers as well as vouchers that are pending once OSC completes the approval process for this fiscal year) **AND / OR**
  - Budget Status = ‘Valid’ or ‘Exceptions’
Interagency vouchers that will **NOT** be deleted:

- Interagency vouchers built by SFS from an online Billing Agency to an online Billed Agency are created with an Entry Status of ‘Recycled’ and are missing a valid chartfield string. (This includes Interagency Credit Memos.)

- Vouchers with an Entry Status of ‘Recycled’ are not subject to Budget Checking.
  - Entry Status = ‘Recycled’ **AND**
  - Budget Status = ‘Not Checked’ **AND**
  - Source = ‘Billing’ **AND**
  - Approval Status = ‘Pending’

Vouchers must meet **ALL** of the above listed criteria to be excluded from deletion.
# FYE Bulkload Processing Schedule

## Master File Extracts

<table>
<thead>
<tr>
<th>DATE</th>
<th>PROCESS DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>March 28</td>
<td>Run the Master File extracts before lapsing</td>
</tr>
<tr>
<td>March 31</td>
<td>Run the final daily/weekly/monthly extracts. Date range includes 3/31.</td>
</tr>
<tr>
<td>April ? (Post-FYE)</td>
<td>When FYE processing is complete, the full set of extracts. These include the Institutional and Administration Payrolls and mandatory payments.</td>
</tr>
<tr>
<td>April ? night and forward</td>
<td>Normal nightly Master File Extract schedule resumes.</td>
</tr>
</tbody>
</table>
# FYE Bulkload Processing Schedule

## Blackout Period

<table>
<thead>
<tr>
<th>DATE</th>
<th>PROCESS DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>March 28 – 3:00 PM</td>
<td>Blackout period begins: all Agency users are locked out, and no bulkload files will be processed.</td>
</tr>
<tr>
<td>March 28 – April 4</td>
<td>No bulkload processing in Production (PCAS) (blackout period); agencies will not be able to log into Production.</td>
</tr>
<tr>
<td>March 31</td>
<td>Run the final daily/weekly/month-end extracts.</td>
</tr>
<tr>
<td>April 7</td>
<td>SFS Production back up for daily business, including Agency online access. The backlog of bulkload files will be manually processed by SFS in chronological order.</td>
</tr>
<tr>
<td>April 8 or 9</td>
<td>Normal bulkload file processing begins once SFS has caught up with backlog (processing the backlog may take 2 or 3 days).</td>
</tr>
</tbody>
</table>
FYE Blackout Period Transactions

Blackout Period Transactions / Impacts

- Even though agencies were not actively processing transactions in the SFS during the FYE blackout period, some transaction processing occurred. Examples of such transactions are:
  - Mandatory payments that OSC will be processing
  - Institutional and Administration payroll
  - Current transactions in the SFS with dates in the new fiscal year, which will get picked up once budget checking is turned on in the new fiscal year, e.g. vouchers that are fully approved by OSC that have a scheduled payment date in the future
Blackout Period Transactions / Impacts

- These transactions affected Appropriation, Segregation, and possibly Agency KK budgets. Once Agency access to the SFS is restored after the FYE blackout period, you will be able to see the effects of these transactions by reviewing the various reports that will display expenditures against budgets in the 2014-15 budget periods.

- For Agency KK, the budget that is planned for the 2014-15 budget period could be understated and require an adjustment.
FYE Blackout Period Transactions

Bulkload Files during Blackout Period

- Agencies can continue to send in **bulkload** files during the blackout period.

- The backlog of bulkload files will be manually processed by SFS in chronological order when SFS Production becomes available for Agency use. Normal bulkload file processing begins once SFS has completed the backlog (processing the backlog may take 2 or 3 business days).

- If your Agency has Agency Commitment Control (KK), it is a best practice to schedule bulkload processing for the new fiscal year **after** your new Agency KK budgets have been established.
Post FYE Worklist Cleanup

- SFS has decided to perform Worklist cleanup post Fiscal Year End (FYE). Once a date has been determined, the SFS Program will notify Agencies in advance.

- Worklist cleanup consists of running an archive of the Worklist tables to purge work items no longer in use for the following document types:
  - Travel Authorizations
  - Expense Reports
  - Vouchers
  - Purchase Orders
  - Budget Journals
  - General Ledger Journals
  - eSettlements
When SFS Production becomes available after the blackout period, all users will be able to create transactions, even if Agency KK budgets have not been re-established by agencies.

SFS will not activate Agency KK control option configurations for any Agency until the Agency submits a Help Desk incident requesting that SFS set Agency KK to their desired control option. Agencies should submit this Help Desk incident request when they want SFS to set the desired control option on Agency KK budgets (usually after Agency KK budgets are re-established by the agencies).

Funding according to the 2014-15 budget bill will not be available until OSC establishes the appropriations AND agencies process segregation journals. DOB KK and Agency KK will be Track without Budget until requested differently by the appropriate Agency. The KK Appropriation and KK Segregation budgets will be under hard control.
Post Fiscal Year End Agency KK

- SFS will provide a file that provides Chartfield strings as well as the following four amounts after FYE processing
  - Budget
  - Encumbrance
  - Expense
  - Available Budget (Budget – Expense)

- Additional files (SFS will provide these files after FYE processing)
  - Funds Set to Track Without Budget – Appropriation Detail
  - Funds Set to Track Without Budget – Segregation Detail
  - Lapsed Appropriations – Appropriation Detail
  - Lapsed Appropriations – Segregation Detail
Transaction Types

- In the Read Only Environment and in Production under Agency Resources (lower right side), SFS will provide lists of the following transactions:
  - Purchase Orders that were closed
  - Requisitions that were closed/cancelled
  - General Ledger Journals that were deleted

- Deleted vouchers may be viewed by APBU by using the NYAP3103 Voucher Deletion Report (Navigation: SFS Reports>Accounts Payable>Voucher) Agencies can also look at NYAP3103 Voucher Deletion Report under Supplemental Training Materials for more information regarding this report.
Transaction Types

- All in process Expense Reports denied by OSC will be returned to the Travel Users/Proxies and the Budget Date will be updated to 4/1/14. Travel Users/Proxies will need to resubmit the Expense Reports if the Expense Reports require reimbursement. Expenditures resulting from the denied expense reports were reversed, but will be reapplied when the expense report is resubmitted.
## Open Periods as of 4/1/14

<table>
<thead>
<tr>
<th></th>
<th>From Period</th>
<th>From Date</th>
<th>To Period</th>
<th>To Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>MOD_ACRUAL</td>
<td>2014-10</td>
<td>1/1/2014</td>
<td>2015-3</td>
<td>6/30/2014</td>
</tr>
<tr>
<td>General Ledger</td>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>
The Post FYE Master File Extracts will be created and transmitted to Agencies. These extracts will display the results of the Budget and PO Rollover processes that occurred over the FYE as well as the few PO adjustments that were required in order to preserve Agency spending authority. The first extracts will include changes from OSC catch up processing activity.

M011 – Will look exactly like it did at the end of the 2013-14 year extract with the exception of the YTD Expenditure Amounts all resetting to $0 and the few Appropriations with PO’s that were adjusted or went to error after rollover.
Post FYE Master File Extracts

- **M041** - Will look exactly like it did at the end of the 2013-14 year extract with the exception of the YTD and Monthly Expenditure and Disbursement Amounts all resetting to $0 and the few Appropriations with PO’s that were adjusted or went to error after rollover.

- **M061** – Will look exactly like it did at the end of the 2013-14 year extract with the exception of the YTD Expenditure Amount resetting to $0 and the few Contracts with PO’s that were adjusted or went to error after rollover causing the value to go from the Encumbrance Amount field to the Pending Amount.

- **M081** – Will look exactly like it did at the end of the 2013-14 year extract.
Post FYE Master File Extracts

- M101 – This extract will provide the PO’s that rolled over. Agencies should process these files to identify the new Distribution Line Numbers and their leftover encumbrance balances. Again those few PO’s adjusted during blackout could be identified here.

- M131 – Will look exactly like it did at the end of the 2013-14 year extract.

- M151 – Will look exactly like it did at the end of the 2013-14 year extract.

- The M161 will not include the rolled over Budget or PO activity. These files should be Blank for most Agencies (other than the few adjustment PO’s) as the environment did not include any transactions other than those created by rollover.
FYE Resources

OSC Resources

The OSC Operations Calendar for State Agencies shows all deadlines related to FYE.

The following links are from OSC’s Guide to Financial Operations regarding FYE:

- End of Year (GFO Chapter XV)
- Lapsing Appropriations (GFO XVII)

The following links are OSC’s FYE Accounts Payables Advisories:

- AP Advisory 33 - Voucher Deletion and Expense Report Denial for Fiscal Year End
- AP Advisory 36 - Fiscal Year End – Vouchers and Expense Reports
OSC Resources

The following links are from OSC’s Operational Advisories:

- Operational Advisory 6 - Lapsing Notice and Reminders
- Operational Advisory 10 - Fiscal Year End
### Helpful SFS Job Aids

<table>
<thead>
<tr>
<th>Job Aid ID</th>
<th>Job Aid Name</th>
<th>Transaction Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>JAA-PO000-016</td>
<td>Purchase Order Rollover Overview</td>
<td>Purchase Order</td>
</tr>
<tr>
<td>JAA-PO000-017</td>
<td>Releasing Encumbrance on a Partially-Vouchered PO Not Vouchered after Rollover</td>
<td>Purchase Order</td>
</tr>
<tr>
<td>JAA-ROA210-007</td>
<td>Entering a Refund of Appropriation (RoA) Against a Rollover Purchase Order (PO) Line</td>
<td>Voucher</td>
</tr>
<tr>
<td>JAA-AP000-012</td>
<td>No Budget Exists Error caused by Modifying Accounting Date</td>
<td>Voucher</td>
</tr>
<tr>
<td>JAA-RP000-005</td>
<td>Agency Administrator Queries</td>
<td>Reports</td>
</tr>
</tbody>
</table>
FYE Resources

The Supplemental Training Materials page on our website has the following presentations available for viewing along with other full presentations that include correction of workflow and data scenarios related to security:

- **NYAP3103 Voucher Deletion Report**
- **JAA-PO000-016 Purchase Order Rollover Overview**
If you have any FYE questions, please contact the SFS Help Desk (HelpDesk@sfs.ny.gov)

The SFS Help Desk operates Monday through Friday 8:00 AM - 5:00 PM.

(518) 457-7737 (7-7SFS)
(877) 737-4185 (toll-free)
HelpDesk@sfs.ny.gov