



Fiscal Year End (FYE) Impacts

All Agencies

Agenda

- Introduction
- Processing Updates
 - Procure-to-Pay
 - 2016-17 Financial Plan & PSP Impacts
 - Budgets & Journals
- Full Dress Rehearsal and Fiscal Year End Plan
- FYE Activities & Data Files
- FYE Reference Material
- Question & Answer
- Appendix (Reference material)



FYE 2016 Processing Updates

Procure-to-Pay Transactions

Paul Kalinowski

Introduction

- Many of this year's FYE processes remain the same.
- Some new processes are required as a result of the EE1 Re-architecture.
- Some of these key processing improvements for SFS 9.2 and FYE are:
 - SFS will no longer be deleting ALL in-flight vouchers as in previous FYEs
 - SFS will no longer be force closing POs that do not roll by default at FYE, as in previous FYEs
 - SFS will no longer create "Orphaned receipts" (as in previous FYEs)
- Bulkload file extracts will not be changing as a result of FYE
 - However, there are changes in the way transactions are handled in our FYE processing.
- The FYE processing improvements are being tested through the FYE Full Dress Rehearsal (FDR) currently taking place.

FYE Processing - Vouchers

No Action

- All vouchers approved and posted
- Non-PO voucher if no expenditure exists in the KK ledgers

Agencies will not need to take any action on these as a result of FYE processing

Delete

- PO vouchers that have not been posted
- Non-PO vouchers if expenditure exists in the KK ledgers (Budget Checked)

Agencies will need to re-enter these vouchers after FYE Processing

FYE Processing – Travel Documents

Denied

- All Expense Reports not in an approved and posted status
- All Travel Authorizations not in an approved status

Agencies can re-submit denied documents for approval through the normal approval workflow after FYE processing

Cancelled

- All Travel Authorizations approved but not sourced to an expense report and charging 3/31/16 lapsed funds

Resubmit the Travel Authorization per your agency's travel policy (if applicable) after FYE processing

Rolled

- All Travel Authorizations that are approved but not sourced to an expense report not charging 3/31/16 lapsed funds

Agencies will not need to take any action on these as a result of FYE processing

FYE Processing – Receipts

Cancelled

- PO receipts related to cancelled POs that haven't been vouchered will be canceled and re-established as non-PO receipts*
 - For PO that will be rolled, the roll over process will re-establish as PO receipts

Rolled

- PO receipts related to rolled POs are retained with new PO distribution line numbers

Agencies may need to cancel non-PO receipts created if creating a new PO to replace the closed PO. Agencies would need to create new PO receipt and cancel the non-PO receipt.

****Note:*** The non-PO receipt created will reference the PO number of the PO that was closed.

FYE Processing – Receipts

Adjusted

- PO receipts will be adjusted down to what has been vouchered
 - New PO Receipts for the unvouchered amount/quantity will be associated to rolled POs
 - New Non-PO Receipts for the unvouchered amount/quantity will be created for closed POs
 - Receipt adjustments are offset by Inventory adjustments so that Inventory levels are not impacted
 - Non-inventory PO receipts adjusted to vouchered quantities/amounts will be re-established as non-PO receipts if the PO is closed or PO receipt if the PO is rolled
- Serialized inventory receipts will be adjusted to the quantity vouchered and will be re-established as non-PO receipts
 - Inventory is not impacted through this process

Agencies will not need to take any action on these as a result of FYE processing

Receipts

Maintain Receipts

Receiving

Business Unit OMH01

Receipt Status Fully Received ✘

Receipt ID 0000041888

[Edit Header Comments](#)

[Activities](#)

[Header Details](#)

[Document Status](#)

▼ Header

Supplier ID

*Ship To Location

Supplier Location

Receipt Source

PO Receipt

[Print Delivery Report](#)

[Run PO Receipt Accrual](#)

Receipt Lines Personalize | Find | View All | | | First 1 of 1 Last

Receipt Lines	More Details	Links and Status	Item / Mfg Data	Optional Input										
Line	Item	Description	Receipt Qty	*Recv UOM	Receipt Price	Accept Qty	Status	Category	Serial	Device Track	Stock UOM	Device Track		
1	<input type="button" value="📄"/>	<input type="text" value="LINE 1"/> <input type="button" value="🔍"/>	<input type="text" value="4.0000"/> <input type="button" value="📄"/>	<input type="text" value="EA"/> <input type="button" value="🔍"/>	<input type="text" value="2.00000"/>	4.0000	Received	<input type="text" value="SUPPLIES"/> <input type="button" value="🔍"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="text" value="Device Track"/>	✘	<input type="button" value="+..."/>

Interface Receipt

[Interface Asset Information](#)

Receipts

Maintain Receipts

Receiving

Business Unit OMH01

Receipt Status Fully Received ✘

Receipt ID 0000041888

[Edit Header Comments](#)

[Activities](#)

[Header Details](#)

[Document Status](#)

▼ **Header**

Supplier ID

*Ship To Location

Supplier Location

Receipt Source

PO Receipt

[Print Delivery Report](#)

[Run PO Receipt Accrual](#)

Receipt Lines Personal

Receipt Lines	More Details	Links and Status	Item / Mfg Data	Optional Input											
Line	Item	Description	Allocation Type		Process Complete	Inspect Status	Serial Control	Serial Status	Lot Control	Lot Status	Match	Receipt Match Status	Qty Pct	Quantity Status	Due D
1		<input type="text" value="LINE 1"/>	Specify		N	Complete	N	Complete	N	Complete	Y	No Match		Passes Quantity Check	02/22/

Interface Receipt

[Interface Asset Information](#)

Receipts

Receipt Line Comments Help

Business Unit OMH01 Receipt Number 0000041888
Receipt Status Received Receipt Line 1

Retrieve Active Comments Only Retrieve

*Sort Method *Sort Sequence Sort

Comments Find | View All First 1 of 1 Last

Use Standard Comments Comment Status Active Inactivate +
Use Item Specifications

This receipt is created during the FYE Refresh Process from the receipt:0000041887 and its corresponding PO is:0000022202

Show at Voucher

Associated Document

Attachment	Attach	View	Delete
From -> RCV OMH01-0000041887-1			

OK Cancel Refresh

FYE Processing – Purchase Orders

No Action

- Stand-alone POs and non-funded contract POs not sourced from a Requisition that are not dispatched and **have not been** successfully budget checked
Agencies can continue acting on these documents normally after FYE Processing

Rolled to the New Fiscal Year

- All POs (e.g., Stand-alone POs, non-funded contract POs, requisition POs and funded contract POs) that **have been** successfully budget checked and are not fully liquidated
- Exceptions are any that fail the roll process due to data issues
Agencies can continue acting on these documents normally after FYE Processing

FYE Processing – Purchase Orders

Closed

- All POs that are fully liquidated including funded contract POs
Agencies will not be able to use this PO, including issuing change orders. A new PO will need to be created or different PO utilized to procure from this vendor

Cancelled

- All POs that have no expenditures posted against them and will not be rolled will be cancelled
Agencies will NOT be able to act on these documents after FYE Processing

FYE Processing – Purchase Orders

Change Order then Close *

- Non-funded contract POs and funded contract POs where the PO cannot be rolled (e.g., data issue)
- All POs that have KK activity and are currently in a budget check error status.
 - POs will be change ordered down and closed or canceled if no expenditures have been posted
 - Budget check errors include PSP Budget Check Errors

Agencies will not be able to use this PO, including issuing change orders. A new PO will need to be created or different PO utilized to procure from this vendor

Example: Agency has a PO for \$100 related to a contract with \$50 expended

- Change order created on the PO to bring down to \$50 dollars updating release amount (reducing by expended amount)
- Run PO close process

* **Note:** *The change order then close process is put into place to maintain the validity of the released amount on the procurement contracts.*

FYE Processing – Requisitions

No Action

- Purchase requisitions and contract requisitions with no pre-encumbrance

Agencies can continue acting on these documents normally after FYE Processing

Cancel

- Any funded contract requisition where a contract has been successfully created but the contract has not been updated to pending OSC approval status
 - Contract will be cancelled resulting in the requisition being cancelled

Agencies will need to create a new contract requisition/contract

FYE Processing – Requisitions

Close

- Purchase requisitions that are fully liquidated
- Contract requisitions that have a pre-encumbrance but failed to create a contract through the requisition-RFQ/contract process
- All requisitions not related to a funded contract with a remaining pre-encumbrance balance exists

Agencies will not be able to use these requisitions. A new requisition will need to be created or different requisition utilized to procure from this vendor.

FYE Processing – Procurement Contracts

Staged Releases

- Error status will be purged from the auto-sourcing workbench
- All scheduled releases that have not been completed will be cancelled

Agencies will need to create new schedules to stage releases after FYE processing

Contract Versions

- Open/draft status will be deleted
- Any in “Req Update Failed” status will be resolved and deleted*

Agencies will need to create new schedules to stage releases after FYE processing

***Note:** Agencies should resolve contracts in “Req Update Failed” status prior to FYE processing to continue processing transactions against the contract.

FYE Processing – Procurement Contracts

Processing occurs to calculate Life-to-date (LTD) expenditures on Funded Contracts

- Used in requisition refresh process to sync the requisition and contract line amounts
- Calculates LTD expenditures on the contract distribution line
- A new field added at the contract distribution line which is the LTD expenditure amount for that distribution line

Agencies can continue acting on these contracts normally after FYE processing

No Action

- Contracts with no associated requisition require no action

Agencies can continue acting on these contracts normally after FYE processing

FYE Processing – Procurement Contracts

Requisition Refresh Process

- Requisition refresh is a new process that applies to funded contracts
- Contract requisitions that have a pre-encumbrance and are linked to a contract
- This process will close an open requisition that is not fully liquidated, and then create a new requisition for the unexpended balance of the closed requisition
- Links the new requisitions, created by the requisition refresh process, to the appropriate associated contracts and rolled POs

Agencies can continue to initiate new purchases against the associated funded contract after FYE process is completed (SFS automatically uses the NEWLY CREATED requisitions)

Note: When the new Fiscal Year budget is available, agencies need to adjust the funding (i.e. Chartfield distributions) on their contracts so that new procurement ordering is not using last year's funding

Requisition Refresh Process

Requisition Distribution Detail						Purchase Order Distribution Detail					
Requisition ID	Distrib Line #	Distrib Max	Liquidated	Expended	Remaining	Requisition ID	Distrib Line #	Distrib Max	Expended	Remaining	
Original ID	1	1000	500	250	500	Original ID	1	500	250	250	
Requisition Distribution Detail						Purchase Order Distribution Detail					
Requisition ID	Distrib Line #	Distrib Max	Liquidated	Expended	Remaining	Requisition ID	Distrib Line #	Distrib Max	Expended	Remaining	
New ID	1	750	250	0	500	Original ID	1	250	250	0	
						New ID	2	250	0	250	

Requisition Refresh Process

- Contract Line Impacts

Contract Line and Distribution Line Impacts			
Line Max Amount	Distrib Max Amount	LTD Expended	Remaining
1000			
	1000	250	750



2016-2017 Financial Plan & PSP Impacts

Mary Ryan (DOB) & Ed Bouryng

2016-17 KK Financial Plan

- 2016-17 KK Financial Plans will be uploaded to the FDR and Production environments
 - FDR – First week of March
 - Production – During Blackout period, after PO Roll
 - No PSP Adjustments during blackout, will have occurred prior to March 31
- Existing 2016-17 budget amounts authorize spending from carryout appropriations for non-capital funds, carryout and re-appropriations for capital funds
- 2016-17 Non Capital KK Financial plan budgets will
 - Increase Quarter 1 (2 , if applicable) to include spending associated with new appropriations and re-appropriations
 - Establish ceilings for the remaining quarters of the 2016-17 fiscal year
 - Establish the 2017-18 carryout period
- 2016-17 Capital KK Financial Plan Budgets will
 - Establish quarterly budgets for FY 2016-17
 - Adjust the following 4 year annual estimates as necessary
 - Establish the 5th year

FYE Processing – PSP

- The PSP method on rolled POs will not be changed
- For POs with a valid PSP budget status that are closed or cancelled during FYE processing, the projected spending will be liquidated and will no longer reserve funds against the DOB Financial Plan

Some rolled POs may fail the PSP budget check and Agencies will need to follow-up on any PSP budget checking errors received on Purchase orders as a result of FYE processing

Agencies otherwise do not need to take any additional action on the PSP methods contained on Purchase orders as a result of FYE processing

PSP Re-budget Check

- On February 25th, in collaboration with the Division of the Budget, SFS performed a PSP budget check on POs that met the overspending criteria (*spending in the current year is greater than PSP planned amounts for the current year*)
- For POs that fail the PSP budget check against the Commitment Control (KK) Financial Plan, agencies will need to follow up on these to ensure they are PSP budget checked successfully (Listing of POs available on [FYE/Lapsing Page](#))

Agencies should continue to monitor POs spending in excess of planned amounts as they approach the end of the current fiscal year

Resources

- SFS Secure: [PSP Budget Check on POs with 2015-16 Spending Exceeding Planned](#)
- SFS Job Aids: JAA-PSP205-005 Viewing PSP Budget Exceptions

Planned but Unspent 2015-16 Budgets

- As part of the PO Rollover (the part relating to 2015-16 FY) SFS will be performing a mass PSP budget check using the PSP Mass Adjustment page that will adjust planned amounts to vouchered amounts for the 2015-16 fiscal year
- As part of the PO Rollover (the part relating to 2016-17 FY) SFS will be performing a mass PSP budget check using the PSP Mass Adjustment page that will move any unspent 2015-16 planned amounts to the 2016-17 fiscal year. These will be applied on a pro-rata basis according to the existing PSP allocation

Example – PSP Before and After Budget Check

BUSINESS _UNIT	PO_ID	LINE_ NBR	DISTRIB _LINE_ NUM	PO_DIST_ LINE_ NUM	BUDGET_DT	DISTRIB _LN_ STATUS	BUDGET_ LINE_ STATUS	BEFORE MERCH ANDISE_A MT	AFTER MERCH ANDISE_A MT
BUxxx	150693A001	1	1	1	31-Dec-15	O	V	3321.06	3321.06
BUxxx	150693A001	1	2	1	31-Mar-16	O	V	9963.26	250665.6
BUxxx	150693A001	1	3	1	30-Jun-16	O	V	26568.7	1231.29
BUxxx	150693A001	1	4	1	30-Sep-16	O	V	26568.7	1231.29
BUxxx	150693A001	1	5	1	31-Dec-16	O	V	26568.7	1231.29
BUxxx	150693A001	1	6	1	31-Mar-17	O	V	26568.7	1231.29
BUxxx	150693A001	1	7	1	30-Jun-17	O	V	26568.7	1231.29
BUxxx	150693A001	1	8	1	30-Sep-17	O	V	26568.7	1231.29
BUxxx	150693A001	1	9	1	31-Dec-17	O	V	9963.26	461.88
BUxxx	150693A001	1	10	1	31-Mar-18	O	V	9963.26	461.88
BUxxx	150693A001	1	11	1	30-Jun-18	O	V	9963.26	461.88
BUxxx	150693A001	1	12	1	30-Sep-18	O	V	9963.26	461.88
BUxxx	150693A001	1	13	1	31-Dec-18	O	V	6642.18	307.52
BUxxx	150693A001	1	14	1	31-Mar-19	O	V	6642.18	307.52
BUxxx	150693A001	1	15	1	30-Jun-19	O	V	6642.18	307.52
BUxxx	150693A001	1	16	1	30-Sep-19	O	V	6642.18	307.52
BUxxx	150693A001	1	17	1	31-Dec-19	O	V	3321.09	154.37
BUxxx	150693A001	1	18	1	31-Mar-20	O	V	3321.09	154.37
BUxxx	150693A001	1	19	1	30-Jun-20	O	V	3321.09	154.37
BUxxx	150693A001	1	20	1	30-Sep-20	O	V	3321.09	154.37
BUxxx	150693A001	1	21	1	31-Dec-20	O	V	3321.09	154.37
BUxxx	150693A001	1	22	1	31-Mar-21	O	V	3321.09	154.37
BUxxx	150693A001	1	23	1	30-Jun-21	O	V	3321.09	154.37
BUxxx	150693A001	1	24	1	30-Sep-21	O	V	3321.09	154.37



FYE 2016 Processing Updates

Project Child Budgets & Journals

Angela Mahoney

FYE Processing – Budget/KK

- The 2016-17 new budget reference will need to align with any project child budgets using the new fiscal year Segregation

- Example:

Project: 2014VAGX0055-M with start date October 1, 2014, end date September 30, 2017

Project/Child budgets will need to be entered or adjusted for the 2016-17

Segregations

POSTED_ TOTAL_ AMT	BU	ACC	DEPTID	FUND_ CODE	PRGMC ODE	BUD_ REF	PROJ_ID	ACTIVITY_ ID	LEDGER
-36082.17	BUxxx	50100	1420000	21945	19906	2015-16			KK_SEG_ BD
12550.32	BUxxx	50100	1420000	21945	19906	2015-16			KK_SEG_ EX
-12550.32	BUxxx	50100	1420000	21945	19906	2015-16	2014VAG X0055-M	FFY15	KK_PRJC _BD
12550.32	BUxxx	50100	1420000	21945	19906	2015-16	2014VAG X0055-M	FFY15	KK_PRJC _EX
-23531.85	BUxxx	50100	1420000	21945	19906	2015-16	2014VAG X0055-M	FFY16	KK_PRJC _BD

- Resource: NYKK5499 to identify Project Child and Segregation balances

Lapsing – Project Child Budgets

- Lapsing Segregations:
 - Run report NYKK0004 to identify Segregations that are about to lapse
 - Run report NYKK5499 to identify any available Project child balances for these lapsing Segregations
 - SFSSecure will include a listing of projects that have lapsing budget strings
Prepare project budget adjustments as needed to transfer any available project child balances to a budget string that will match a non-lapsed Segregation

FYE Processing: Budget and GL Journals

Mass Deletes

- Budget Journals -- All Existing Budget Entries (Journals, Transfers, Interunit Transfers) that have not been posted as of the end of March 2016 will be deleted
- General Ledger (GL) Journals -- All GL Journals that are “in flight” or “in error” -- not Posted (P), Unposted (U) or Deleted (D)

Agencies do not need to take action as a result of FYE processing



Full Dress Rehearsal (FDR) & Fiscal Year-end Plan (FYE)

Larry Moats

FDR Schedule



** Note: Anticipated date*

FDR Update

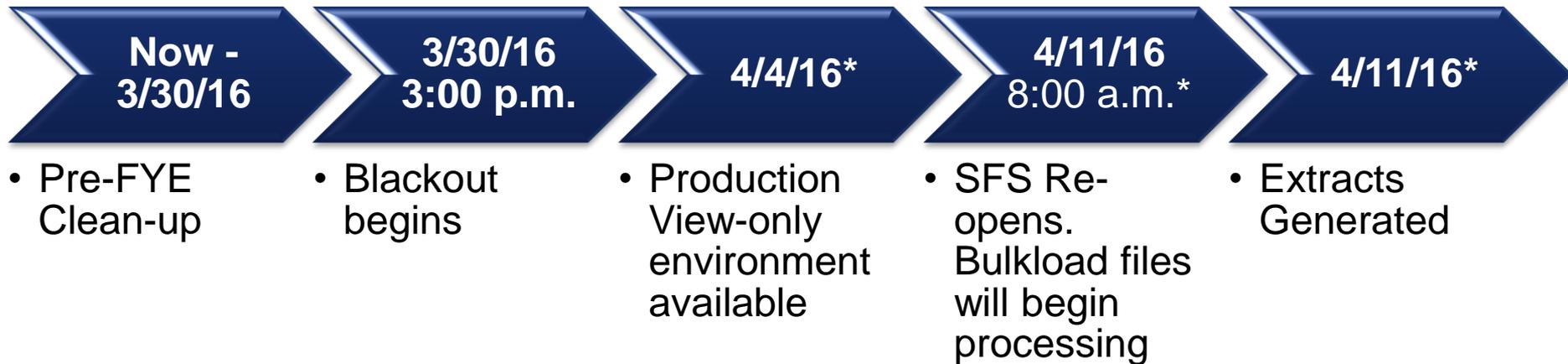
- Results of FDR will be posted to SFS*Secure*
 - These results can be used by agencies for transaction review and action if applicable
 - *Additional details on the data results page of SFS*Secure**

- Post-FDR environment available for agency use after the FYE FDR completes
 - This environment will have SFS Production data from February 4 (7:55 a.m.)
 - Availability will be communicated and link will be on SFS*Secure*
 - Testing will help identify/resolve issues before the actual FYE event
 - Recommended Agency Actions
 - Review FDR results
 - Test transacting against rolled documents
 - Review PSP and Financial Plan updates

FDR Testing

- FDR environment
 - Login and password will be your ABP Testing environment information as of 3/4
 - Bulkload files will need to be prefixed with 'TST1_'
- What to test
 - Contracts and POs
 - Other critical business activity
- If questions/concerns regarding test results submit via email to helpdesk@sfs.ny.gov
 - Note 'FYE Test' in the subject line
 - Include screen shots where applicable

FYE Schedule



* **Note:** Anticipated date

Production View-only Environment

- Available beginning 4/4
- Static 2015-16 information as of 3/31
- Login and password will be your production information as of 3/31
- OBIEE reports will not be available
- Book of Record reports will be available in this environment

Key FYE/Lapsing Dates

Important FYE/Lapsing key transaction dates have been published by OSC and BSC

▪ **OSC Resources**

- [OSC Calendar of Events and Deadlines](#)
- The following chapter is from OSC's Guide to Financial Operations regarding OSC guidance and additional details on FYE:
- End of Year (GFO Chapter XIX)
 - <https://www.osc.state.ny.us/agencies/guide/MyWebHelp/>

▪ **BSC Resources**

- BSC Hosted Agencies: Agencies hosted by the BSC should be aware of BSC deadlines; the BSC may require earlier completion of certain activities
 - [Calendar of Key BSC Processing Dates](#)



FYE Activities & Data Files

Data Files Provided by SFS

- FYE Agency Outreach Files
 - Will be available beginning this week
 - Should be used to identify documents that agencies should attempt to clean-up prior to FYE/Lapsing
- Pre-FYE Transaction Clean-up files
 - Will be available beginning the week of 3/7
 - Actions SFS is taking on agency documents in Production
- FDR results from SFS actions
 - Will be available the week of 3/7
 - Should be used by your agency with the FYE Checklist when cleaning up transactions prior to SFS blackout
- FYE results from SFS actions
 - Will be available beginning the week of 4/11
 - Should be used by your agency with the FYE Checklist when entering new transactions after FYE processing

Pre-FYE Transaction SFS Clean-up Schedule (as of 3/2/16)

Cleanup Type	Schedule	Notes
Close fully liquidated POs for all business units	3/5 & 3/6	
Close or cancel all POs that meet OSC's new policy criteria	3/12 & 3/13	In compliance with the Data Quality guidelines in the Guide to Financial Operations Chapter III, Section 7 - Data Quality , the Office of the State Comptroller (OSC) has instructed SFS to execute the clean-up activities during March 2016
Stale work items archived	3/20	SFS Production will not be available on Sunday 3/20.
Clean-up related to procurement contracts	3/19 & 3/20 3/26 & 3/27	This may impact open POs, Contract values or Requisitions.
Resolve regular budget exceptions for POs, Requisitions and PSP budget exceptions for POs and close these documents	3/26 & 3/27	3/25 is the last day for agencies to correct these transactions with budget exceptions
Close POs that have partially vouchered receipts	3/26 & 3/27	3/25 is the last day for agencies to process remaining vouchers or adjust receipts

Pre-FYE Transaction SFS Clean-up Schedule (updated 3/11/16)

Cleanup Type	Schedule	Notes
Close fully liquidated POs for all business units	3/5 & 3/6	
Close or cancel all POs that meet OSC's new policy criteria	3/12 & 3/13	In compliance with the Data Quality guidelines in the Guide to Financial Operations Chapter III, Section 7 - Data Quality , the Office of the State Comptroller (OSC) has instructed SFS to execute the clean-up activities during March 2016
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Resolve regular budget exceptions for POs, Requisitions and PSP budget exceptions for POs and close these documents	3/26 & 3/27	3/25 is the last day for agencies to correct these transactions with budget exceptions
Close POs that have partially vouchered receipts	3/26 & 3/27	3/25 is the last day for agencies to process remaining vouchers or adjust receipts

Please note: SFS Production will not be available during the weekends of clean-up.

Pre-FYE Transaction SFS Clean-up Schedule (updated 3/17/16)

Cleanup Type	Schedule	Notes
Close fully liquidated POs for all business units	3/5 & 3/6	
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Clean-up related to procurement contracts	3/19 & 3/20 3/26 & 3/27	This may impact open POs, Contract values or Requisitions
Resolve regular budget exceptions for POs, Requisitions and PSP budget exceptions for POs and close these documents	3/26 & 3/27	3/25 is the last day for agencies to correct these transactions with budget exceptions
Receipts will be adjusted down to the vouched amount for POs that have partially vouched receipts	3/26 & 3/27	3/25 is the last day for agencies to process remaining vouchers or adjust receipts

Please note: SFS Production will not be available during the weekends of clean-up.

OSC Close or Cancel PO Guidance

- Any PO transaction with a budget status error for 30 days or more should be resolved or deleted
- Any PO transaction with a remaining balance less than \$500 and less than five percent of the total value remaining not utilized in the last 45 days should be closed
- Any non-contract PO transaction that has been inactive for 12 months or more should be closed
- Any PO transaction fully expended should be closed



FYE Reference Material

Pamela Korotsky

FYE/Lapsing home page

The SFS [FYE/Lapsing](#) page is home to all agency FYE/Lapsing reference documentation

- The FYE Checklist should be used to ensure that your agency is clear on the actions that must be performed for FYE/Lapsing
- The FYE FDR data results from SFS actions will be posted for your agency to utilize when cleaning up transactions
- The FYE data results from SFS actions will be posted for your agency to utilize when entering new transactions

2015–16 Fiscal Year End (FYE) / Lapsing

FYE / Lapsing Resources

- Agency FYE Checklist
- FYE FDR Data Results
- Fiscal Year End (FYE) Agency Outreach Data Files
- OSC's Guide to Financial Operations (Chapter XV: End of Year)
- FYE Bulkload Impacts Presentation
- 2016 FYE FAQs

SFS FYE / Lapsing Announcements

All SFS announcements are available on our [SFS Secure Announcements page](#).

- Cost Center Rollover Items for FYE
- Agency FYE Impacts WebEx Presentation
- SFS BT Extract Update
- 3/2 Agency FYE Impacts WebEx
- February Agency Checkpoint Call Presentation
- PSP Budget Check on POs with 2015-16 Spending Exceeding Planned
 - Listing of POs (as of 2/24/16)
 - DOT Listing of POs (as of 2/29/16)

FYE / Lapsing Support

FYE Transaction Data Results

SFS provides data files to agencies to assist with daily financial business processing, pre-FYE clean up, FYE planning and with required actions. Three types of data transaction files are provided:

Data File Type	Description of Files
Pre-FYE clean-up results	Data result files from actions taken by SFS on agency documents in SFS Production per OSC's data quality guidance and clean up necessary prior to the FYE event.
FYE(FDR) Results	Transaction data result files from SFS FYE full dress rehearsal (FDR) tasks performed in the test environment; includes closed, deleted, rolled-over, refreshed, or adjusted Vouchers, POs, Receipts, Requisitions, Expense Reports, Travel Authorizations, and General Ledger (GL) and Budget journals.
FYE Results	Transaction data results files from SFS FYE tasks performed in the SFS Production environment; includes closed, deleted, rolled-over, refreshed, or adjusted Vouchers, POs, Receipts, Requisitions, Expense Reports, Travel Authorizations, and GL and Budget journals.

Instructions for agency actions have been provided in multiple resources and methods: the FYE Checklist, FYE self-paced training courses and job aids, Pre-FYE Clean-up Results, FYE (FDR) Results, FYE Results, and OSC Guidance.

FYE / Lapsing Training Information

Self-Paced Training

All self-paced training courses can be found in the **Statewide Learning Management System (SLMS)**. To access SFS self-paced training courses, log into SLMS and search for **SFS-9.2-SPT**.

The following self-paced training courses include new topics related to Fiscal Year End (FYE):

- Accounts Payable 205
- Commitment Control 215
- Purchase Orders 220
- Receiving 205

Key Dates FYE / Lapsing

- **February 15 through March 6:** FYE Full Dress Rehearsal
- **April 11:** Open the SFS to agencies (subject to change)

System Dates

- SFS Production Availability
 - Closes March 30 at 3:00 p.m.
 - Reopen April 11 at 8:00 a.m.
- FYE/FDR Test Environment
 - Open March 9 at 8:00 a.m.
 - Data as of February 4
- View-Only SFS Production
 - Open April 4 at 8:00 a.m.
 - Closes upon Blackout (March 30 at 3:00 p.m.)

OSC/BSC Dates

- **OSC: Calendar of Events and Deadlines**
- **BSC: Calendar of Key BSC Processing and Dates and EE1 Upgrade Activities**

FYE Checklist on SFS Secure

SFS Agency Fiscal Year End (FYE) Checklist

Use this Checklist to ensure that your agency is clear on the actions that must be performed for the 2015-16 Fiscal Year End. Agency actions are listed below along with related agency data files and available resources to assist you with completing the checklist items. Remember to check out the SFS Secure "2015-16 Fiscal Year End/Lapsing" page for more information to help you with this process.

[2015-16 Fiscal Year End/Lapsing](#)

Agency clean-up actions labeled as Pre-FYE should be taken, as applicable to your agency, by March 30, prior to the start of SFS blackout. Agency actions identified as Post-FYE should be started, as applicable to your agency, once SFS is available to agencies on April 11 (current target date).

FYE Action (Pre/Post)	Module Area	FYE Agency Clean Up Actions	Agency Data File	Resource
Pre-FYE	Accounts Payable	Run the following reports to review all places within the voucher lifecycle that a voucher could be waiting to move to the next step with the goal of being routed to OSC for review and approval. <ul style="list-style-type: none"> • NYAP1090 Match Exceptions report, • NYAP3213 Vouchers Ready for Approval Workflow and • NYAP3312 In-Flight Voucher Approval Workflow report 	N/A	SFS Secure Reports User Guide - AP
Pre-FYE	Accounts Payable	Run the NYAP1547 report to view payment transactions that are due to be paid after an appropriations lapse date. This report will list transactions with detail lines that will hit budgets that are scheduled to lapse.	N/A	SFS Secure Reports User Guide - AP
Post FYE	Accounts Payable	PO vouchers where the PO will be rolled into the next Fiscal Year budget period have been deleted. Agencies will need to re-enter these vouchers after FYE processing.	Deleted Vouchers	SFS SPT: Accounts Payable 205 <ul style="list-style-type: none"> • Re-enter a PO Voucher when the associated PO is rolled into the next FY budget period
Post FYE	Accounts Payable	Non-PO vouchers with expenditure in the KK ledgers (Budget Checked) have been deleted. Review the NYAP3103: Voucher Deletion Report for details on deleted vouchers. Agencies will need to re-enter these vouchers.	Deleted Vouchers	SFS SPT: Accounts Payable 205 <ul style="list-style-type: none"> • Re-enter a Non-PO Voucher if the voucher is budget checked successfully
Post FYE	Accounts Payable	Non-PO vouchers without expenditure in the KK ledgers were not deleted, these vouchers will need to have the Accounting Date updated before successfully budget checking.	N/A	SFS SPT: Accounts Payable 205 <ul style="list-style-type: none"> • Fiscal Year End/Lapsing Transaction Processing Lesson Overview

SFS Outreach to Agencies

- As SFS posts files to help with Pre-FYE activities; outreach may be done to support agency clean-up
 - Agencies should use these files and the FYE checklist to identify transactions that should be done prior to SFS clean-up

FYE Presentations on SFS Secure

The below presentations are available on the FYE/Lapsing page of SFS Secure for your reference:

- January Agency Checkpoint Call
- February Agency Checkpoint Call
- FYE Bulkload Impacts Presentation
- FYE Impacts Presentation (*will be available after this meeting*)

FYE Frequently Asked Questions

- Posted under FYE/Lapsing Resources
- Collected from all FYE related materials presented to-date

FYE/Lapsing Training Materials

- SFS Self-Paced Training (SPT) topics relating to FYE and Lapsing can be found in the appropriate training course in SLMS
 - FYE/Lapsing related topics will be found under the “FYE/Lapsing Transaction Processing” lesson in the appropriate training course
- All SPT courses can be found in SLMS. To access one or more SFS SPT courses, log into [SLMS](#) and search for SLMS Course Code: **SFS-9.2-SPT**
- Visit the [SFS Training and User Education](#) page for information on SPT course details and enrollment instructions

FYE/Lapsing Training Materials

- The following topics have been added to the existing SPT courses:

Class Code	Topic Names
Accounts Payable 205	<ul style="list-style-type: none"> • Re-enter PO Vouchers with Rolled POs • Re-enter Non-PO Vouchers for FYE
Procurement Contract 210	<ul style="list-style-type: none"> • Editing Distribution Lines with New Fiscal Year Budget • Deleting a Draft Contract Version • Resolving Budget Exceptions for Refreshed Requisitions • Stage POs for Release from Contract
Purchase Orders 220	<ul style="list-style-type: none"> • Re-create Standalone PO • Re-create a General Purchase PO by Copying a Requisition • Re-create a Contract PO by Copying a Contract • Resolving Budget Exceptions (Regular and PSP) for Rolled POs • Viewing PO Information • Creating a PO by Copying an Existing PO • Resolving PO Auto Sourcing Errors
Receiving 205	<ul style="list-style-type: none"> • Creating a PO Receipt Referencing a Non-PO Receipt • Canceling a Non-PO Receipt

FYE/Lapsing Training Materials Continued

Class Code	Topic Names
Requisition 205	<ul style="list-style-type: none"> • Re-create a General Purchase (Non-Contract) Requisition with Lines • Re-create a Contract Requisition with Lines
Travel and Expense 201	<ul style="list-style-type: none"> • Re-submitting a Denied Expense Report • Re-submitting a Denied Travel Authorization • Resolving Budget Exceptions for Rolled Travel Authorizations
Projects and Program Mgmt.101 (for DOL use)	<ul style="list-style-type: none"> • Enter Project Budget for the New Fiscal Year • Adjust Project Budget for the New Fiscal Year • Finalize Adjusted Project Budget for the New Fiscal Year
Commitment Control 215 (for all other agencies)	<ul style="list-style-type: none"> • Entering or Adjusting Budget Journals for the new Fiscal Year

FYE/Lapsing Job Aids

- The following SFS Job Aids relating to FYE and Lapsing can be found on the SFS Job Aid homepage on *SFS Secure* > Master SFS > Job Aids:

Job Aid Number	Name
JAA-AP205-017	Re-enter PO Vouchers with Rolled Pos
JAA-AP205-018	Re-enter Non-PO Vouchers for FYE
JAA-CN210-022	Edit or Delete a Draft Contract Version
JAA-CN210-023	Resolving Budget Exceptions for Refreshed Requisitions
JAA-CN210-024	Editing Distribution Lines with New Fiscal Year Budget
JAA-CN210-025	Stage POs for Release from Contract
JAA-PO220-016	Re-create Standalone PO
JAA-PO220-017	Re-create a PO by Copying a General Purchase Requisition
JAA-PO220-018	Re-create a PO by Copying an Existing PO
JAA-PO220-019	Re-create a PO by Copying a Centralized or Agency Contract
JAA-PO220-020	Resolving PO Auto Sourcing Errors for FYE
JAA-PO220-021	Viewing PO Information for Canceled and Closed Purchase Orders

FYE/Lapsing Job Aids (Continued)

Job Aid Number	Name
JAA-PO220-022	Viewing and Resolving PSP Budget Exceptions for Rolled Pos
JAA-PO220-023	Viewing and Resolving Budget Exceptions for Rolled Pos
JAA-REC205-008	Creating a PO Receipt Referencing a Non-PO Receipt
JAA-REC205-009	Canceling a Non-PO Receipt
JAA-REQ205-012	Re-create a Contract Requisition with Line(s)
JAA-REQ205-013	Re-create a General Purchase Requisition
JAA-TE201-022	Search for and Modify a Denied Expense Report
JAA-TE201-023	Search for and Modify a Denied Travel Authorization
JAA-TE201-000	Re-submitting a Canceled Travel Authorization (Available in June)
JAA-PPM101-018 (for DOL use only)	Enter Project Budget for the New Fiscal Year
JAA-PPM101-019 (for DOL use only)	Adjust Project Budget for the New Fiscal Year
JAA-PPM101-020 (for DOL use only)	Finalize Adjusted Project Budget for the New Fiscal Year
JAA-KK215-017 (for all other agencies)	Entering or Adjusting Budget Journals for the new Fiscal Year

Support

- SFS Help Desk (HelpDesk@sfs.ny.gov)
 - Please email/call with any questions or concerns
Incidents are being routed to the FYE Team

- Fast Track Support
 - Pose questions at the Tuesday and Thursday afternoon Bulkload and Online Agency sessions



Questions?



Appendix

Additional FYE Reference Information

Key Terms and Concepts

Term / Concept	Definition
Fiscal Year End (FYE)	The completion of a one-year, or 12-month accounting period which includes closing out current-year transactions and creating new transactions for the next fiscal year. The Fiscal Year period in the Statewide Financial System (SFS) is April 1 – March 31, the State Fiscal Year, for all Business Units, including those which operate under a different fiscal year, e.g. SUNY and CUNY.
Lapsing	Generally, an appropriation becomes available at the beginning of the State's fiscal year (April 1) and becomes unavailable, except for commitments already made, at the close of the State's fiscal year (March 31). Appropriations which have commitments against them continue to be available until the following June 30 (General Fund), September 15 (all other funds) or September 30 (State appropriations made to CUNY/SUNY). On that date, the appropriations lapse and no further payments may be made against them. The lapsing date is the date after which no more money can be spent from an appropriation and its segregations.

FYE/Lapsing Reports

- NYAP1547 Report should be run to view payment transactions that are due to be paid after an appropriations lapse date
 - Main Menu > Commitment Control > Budget Reports > Document List for Lapsing
- NYAP1090 Report should be run to review all places in the voucher lifecycle that a voucher could be waiting to move to the next step
 - Main Menu > Accounts Payable > Reports > Vouchers > Match Exceptions
- NYAP3213 Report should be run to review all places in the voucher lifecycle that a voucher could be waiting to move to the next step
 - Main Menu > Reporting Tools > SFS OBIEE Reports > Accounts Payable (AP) > Voucher > Vouchers ready for Approval Workflow (NYAP3213)
- NYAP3312 Report should be run to review all places in the voucher lifecycle that a voucher could be waiting to move to the next step
 - Main Menu > Reporting Tools > SFS OBIEE Reports > Accounts Payable (AP) > Voucher > In-Flight Voucher Approval Workflow (NYAP3312)

FYE/Lapsing Reports

- NYKK0004 Report should be run to verify the appropriation that will lapse prior to the running of the lapsing process
 - Main Menu > Reporting Tools > SFS OBIEE Reports > Budget (KK) > AppropSeg > Appropriations Due to and Not Due to Lapse Report
- NYKK0264 Report should be run to identify where the budget has gone negative regarding KK_SEG
 - Main Menu > Commitment Control > Budget Reports > Negative Segregation Balance
- NYKK3647 Report should be run to monitor the amount of budget journals and corresponding amounts that are in pending approval status
 - Main menu > Commitment Control > Reports> Adjusted remaining bud balance

FYE/Lapsing Reports

- NYKK4000 Report should be run to view the status of the KK Financial Plan budgets
 - Main Menu > Commitment Control > Budget Reports > KK Financial Plan Status
- NYKK4002 Report should be run to monitor PSP method defaults at the Contract Profile and contract level
 - Main Menu > Commitment Control > Budget Reports > PSP Voucher Report
- NYKK5499 Report should be run to review child budgets that require adjustments
 - Main menu > Commitment Control > Reports > PRJC Budget Comparison Report

FYE/Lapsing Reports

- NYPO5001 Report should be run to view vendors where goods and services have been received but invoices have not there fore no payment have been made.
 - Main Menu > Purchasing > Receipts > Reports > Receipt Summary
- NYPO8001 Report should be run to view budgetary amount information for POs
 - Main Menu > Purchasing > Purchase Orders > Reports > Req and PO Budgetary Activity
- NYPO8002 Report should be run to view budgetary amount information for Requisitions
 - Main Menu > Purchasing > Purchase Orders > Reports > NY Req-PO Budgetary Activity

FYE Agency Actions

1. PSP Spending Over Planned Amounts

- Run the PSP Voucher Report (NYKK4002) to identify any POs with spending in the current fiscal year (15-16) in excess of planned amounts.
 - **Report Navigation:** Main Menu > Commitment Control > Budget Reports > PSP Voucher Report
 - [SFS Secure Reports User Guide - KK](#)
- For those POs, determine whether the PO has PSP projections in the next fiscal year (16-17).
- Agencies may need to re-plan these POs prior to the close of the fiscal year to self-correct the projection (PSP re-budget check) or revise the projection (re-plan) to better align with actual spending and relieve planned spending impact on the next fiscal year.

FYE Agency Actions - Example

1a. PSP Re-Budget Check

- To run PSP Re-Budget check for POs, search and select the desired PO or group of POs on the PSP Adjustment page.
- Check the Budget Check checkbox.
- Click the Run button.
 - This will make the PO eligible for the next PSP Budget Check which runs on a 2 hour batch process.
 - Batch process schedule can be viewed on SFS*Secure*'s [Guides, Manuals, and Processing Resources](#) page.

Resources

- SFS SPT: PSP205 – Viewing PSP Budget Exceptions
- SFS Job Aids: JAA-PSP205-005 Viewing PSP Budget Exceptions

FYE Agency Actions - Example

PSP Re-Budget Check

[Favorites](#) > [Main Menu](#) > [Commitment Control](#) > [PSP](#) > [Processes](#) > [PSP Adjustment](#)

ORACLE

[PSP Adjustment](#) | [Allocation Request History](#)

PSP Adjustment

Run Control ID: ADHOC Report Manager Process Monitor [Run](#)

Search Criteria

*Business Unit:
 PO Amount:
 PO ID From: PO ID To:
 SetID: PSP:
 Method:
 PSP Type:
 Contract Setid: Contract Profile: Contract ID:
 Primary Selection:
 Exclude Fully Liquidated PO [Search](#)

Select Adjustment Action

PSP Adjustment Action:
 Budget Check: Preview Allocation

Find View All <input type="button" value="L"/> First <input type="button" value="A"/> 1 of 1 <input type="button" value="B"/> Last								
Select	PO ID	Amount	Unliquidated Amt	Prior Period Unliquidated Amt	PSP Method	Projection Type	Last PSP Action Taken	Last PSP Action Date/Time
1	<input checked="" type="checkbox"/>	0000000221	181191.89	151700.38	15806.47 A_1-4_E	Allocation	Establish	10/21/15 1:12PM

[Select All](#) [Clear All](#)
[Save](#) [Return to Search](#) [Previous in List](#) [Next in List](#) [Notify](#) [Add](#) [Update/On](#)

PSP Adjustment | Allocation Request History



FYE Agency Actions - Example

1b. PSP Re-Plan

- Your agency has a PO for \$100.00 with a PSP method A_1-4_E (Non-Cap 4 Period Even) as it was originally planned to have even spending divided over 4 periods.
- It is now the 4th quarter and you have \$40.00 remaining on the PO. You decided to Re-Plan the PSP method to S_PO30 (Source PO Date + 30 Days) to ensure spending is complete prior to fiscal year end.

Resources

- SFS SPT: PSP205 – Using the Re-Plan Adjustment Action
- SFS Job Aids: JAA-PSP205-001 Using the Re-Plan Adjustment Action

FYE Agency Actions - Example

PSP Re-Plan

The screenshot displays the Oracle PSP Adjustment interface. At the top, there is a breadcrumb trail: Favorites > Main Menu > Commitment Control > PSP > Processes > PSP Adjustment. The Oracle logo is visible on the left, and navigation links (Home, Worklist, Add to Favorites) are on the right. Below the breadcrumb, there are tabs for 'PSP Adjustment' and 'Allocation Request History'. The main heading is 'PSP Adjustment'. Below this, there are buttons for 'Run Control ID ADHOC', 'Report Manager', 'Process Monitor', and a 'Run' button. A 'Search Criteria' section contains several input fields: 'Business Unit', 'PO Amount' (set to 0.00), 'PO ID From' and 'PO ID To' (both set to 0000000221), 'SetID' (set to SHARE), 'PSP', 'PSP Type', 'Contract Setid' (set to SHARE), 'Contract Profile', 'Contract ID', and 'Primary Selection'. There is also a checkbox for 'Exclude Fully Liquidated PO' and a 'Search' button. Below the search criteria is a 'Select Adjustment Action' section with a dropdown menu. The dropdown is open, showing options: 'Re-Alloc', 'Re-Calc', 'Re-Plan', and 'Re-Start'. The 'Re-Plan' option is highlighted. Below the dropdown is a table with the following data:

Select	PO ID	Amount	Unliquidated Amt	Prior Period Unliquidated Amt	PSP Method	Projection Type	Last PSP Action Taken	Last PSP Action Date/Time
1	<input checked="" type="checkbox"/>	0000000221	181191.89	151700.38	15806.47 A_1-4_E	Allocation	Establish	10/21/15 1:12PM

At the bottom of the table, there are 'Select All' and 'Clear All' buttons. The page also shows 'Find | View All | First 1 of 1 Last'.

FYE Agency Actions - Example

PSP Re-Plan

The screenshot shows the Oracle PSP Adjustment interface. The main window has a breadcrumb trail: Favorites > Main Menu > Commitment Control > PSP > Processes > PSP Adjustment. The page title is "PSP Adjustment" and the Run Control ID is "ADHOC".

The "Search Criteria" section includes fields for Business Unit, PO Amount (0.00), PO ID From (0000000221), PO ID To (0000000221), SetID (SHARE), PSP Method, PSP Type, Contract Setid (SHARE), Contract Profile, and Contract ID. There is a checkbox for "Exclude Fully Liquidated PO".

The "Select Adjustment Action" section has "PSP Adjustment Action" set to "Re-Plan" and "PSP Method for Re-Plan Action" highlighted with a green box. There are also checkboxes for "Budget Check" and "Preview Allocation".

A "Look Up PSP Method for Re-Plan Action" popup window is open, showing search criteria: SetID (SHARE), PSP Method (begins with), and Description (begins with). It has buttons for "Look Up", "Clear", "Cancel", and "Basic Lookup".

The "Search Results" window shows a table with 39 results. The first few rows are:

PSP Method	Description
A_1-3_E	Non-Cap P2 Even Rem
A_1-3_FL	Non-Cap P1-P3 Front Load
A_1-4_E	Non-Cap 4 Period Even
A_1-4_FL	Non-Cap 4 Period w/Advance
A_1-5_E	Non-Cap 5 Period Even
A_1-5_M	5 Period Model Non-Capital
A_2-4_BL	Non-Cap P2-P4 Back Load
A_P1P3_E	Non-Cap Semi-Annual
A_P1_CNV	Conversion Testing
C_0Y1_CN	Capital <1YR Construction
C_0Y1_CV	Conv. Cap <1YR contract bal
C_1-2_CR	Capital Change Request
C_1-2_SM	Capital Seasonal Maintenance
C_1-5_E	Capital 5 Period Even
C_1Y2_CN	Capital 1-2YR Construction
C_1Y2_CV	Conv Cap 1-2yr contract bal
C_1Y_CN	Capital 1YR Construction
C_1Y_E	Capital 1YR Even
C_2Y3_CN	Capital 2-3YR Construction
C_2Y3_CV	Conv Cap 2-3YR contract bal
C_2Y_CN	Capital 2YR Construction
C_2Y_E	Capital 2YR Even
C_3Y_CN	Capital 3YR Construction