



April Agency Checkpoint Call

Agenda

- Opening Remarks
- Fiscal Year End Summary: Successes and Opportunities
 - Fiscal Year End successes
 - Fiscal Year End by the numbers
 - Getting back to business
 - Next SFS event: Lapsing
- DOB and OSC New Fiscal Year Remarks
- SFS Reminders
 - SFS Community Councils
 - 4/20 Training release



Opening Remarks

SFS Director, Peggy Sherman



Fiscal Year End 2015-16 Summary: Successes and Opportunities

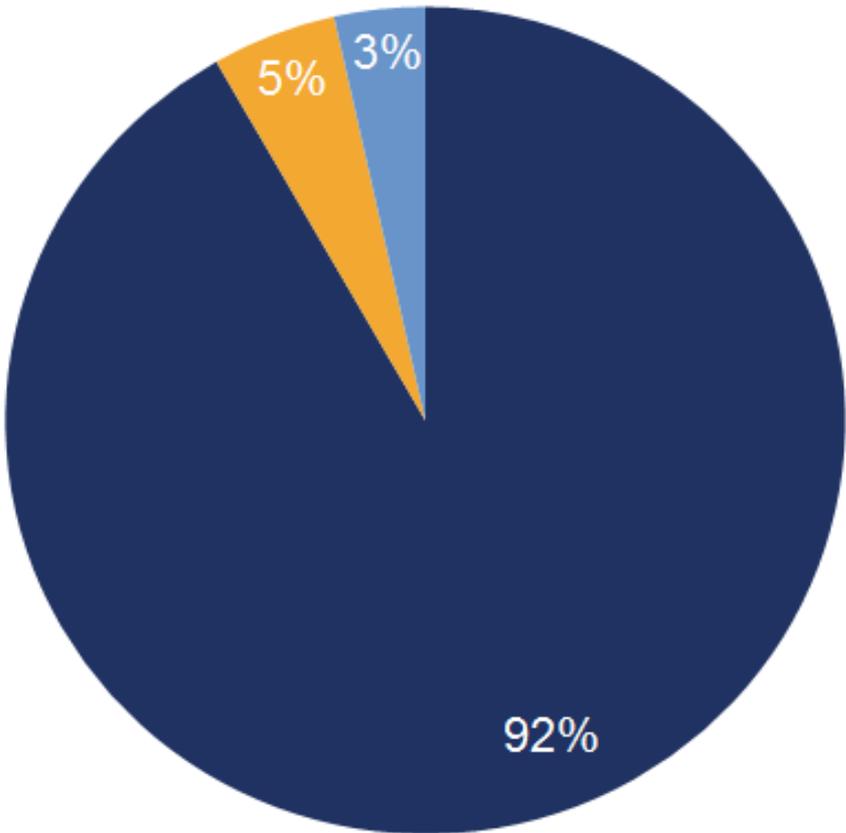
**SFS Enterprise Architecture/Program
Management, Terry Anderson**

Fiscal Year End 2015-16 Successes

- Agencies collaborated with SFS on critical pre-FYE tasks, reducing the time needed for Fiscal Year End (FYE) processing tasks
- SFS reopened Production to agencies and suppliers four days earlier than the targeted date of April 11
- Due to some of the EE1 improvements to FYE, 95% of the 2016-17 appropriations were uploaded during blackout and available to agencies when SFS re-opened
- DOB Financial Plan was uploaded prior to SFS re-opening
- More documents were rolled than in previous years, reducing agency workload in April

Fiscal Year End by the numbers

SFS closed 247,340 Agency transactions for Pre-FYE clean up



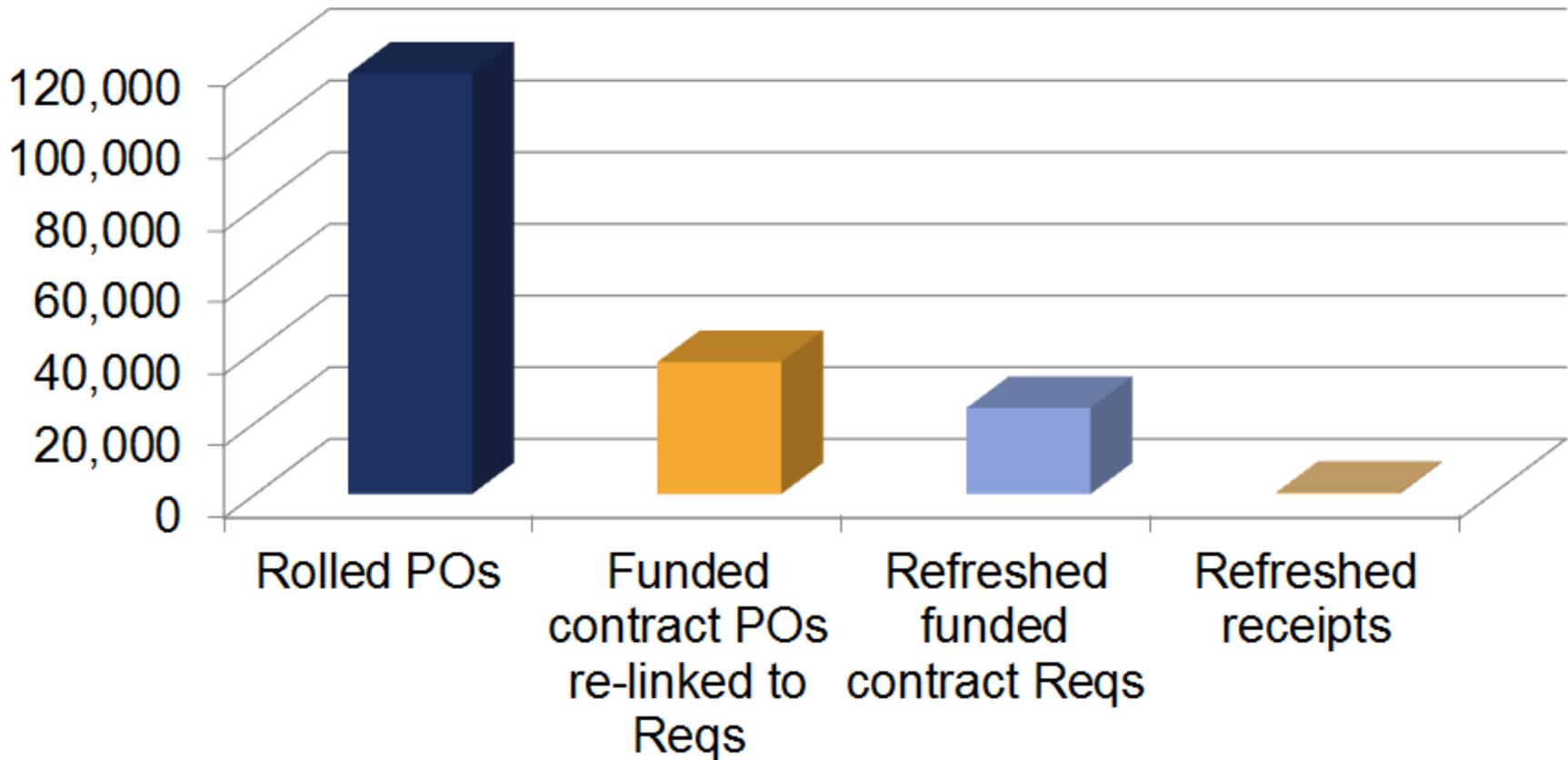
■ 226,544 Purchase Order (PO) transactions fully expended

■ 11,870 Non-contract PO transactions that have been inactive for 12 months

■ 8,624 PO transactions with less than \$500 of a remaining balance and less than five percent of the total value remaining not utilized in the last 45 days

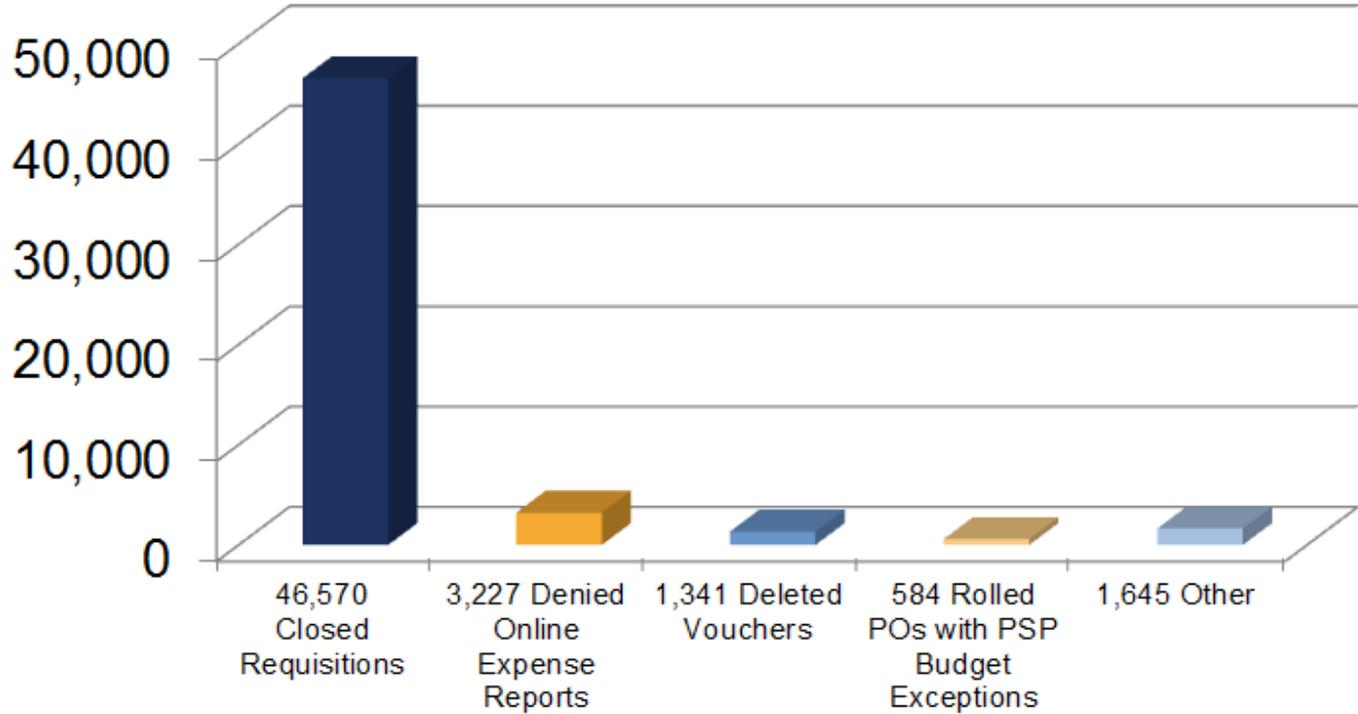
Fiscal Year End by the numbers

Rolled documents



Fiscal Year End by the numbers

Total transactions processed by SFS during the blackout period



- 46,570 Closed Requisitions
- 3,227 Denied Online Expense Reports
- 1,341 Deleted Vouchers
- 584 Rolled POs with PSP Budget Exceptions
- 1,645 Other

Fiscal Year 2016-17 Opportunities

- Take a new look at agency business processes to align with policy
- Take time to make sure that transactions are entered correctly
- Monitor and clean up transactions at least once a month



Fiscal Year End 2015-16: Getting back to business

**Production Defect Support Team,
Marlene Tierney**

Getting back to business

- Post-FYE results from SFS actions were posted to *SFS Secure* on April 7
 - [Transaction data result files](#) includes cancelled, closed, deleted, rolled-over, refreshed, or adjusted Procurement Contracts, Vouchers, POs, Receipts, Requisitions, Expense Reports, Travel Authorizations, and GL and Budget journals.
 - Cancelled/adjusted receipts- with a mapping to the new receipt was posted 4/6
- Use with the [FYE Checklist](#) (post-FYE line 32) when entering new transactions after FYE processing to get back to financial processing quickly

Getting Back to Business

- In the new fiscal year agencies should review internal business processes, ensuring they have been updated to support and take advantage of SFS functionality and automation.
 - Begin with a purchase requisition to pre-encumber funds. Agencies meet OSC's requirement to encumber contracts through a requisition.
 - Pre-encumber with new fiscal year appropriation for expected contract spending in fiscal year 2016-17.
 - It is not necessary to pre-encumber for subsequent (out) years.
 - A PO is not needed to meet OSC's contract encumbrance requirement.
 - For agency specific contracts, the requisition is only used to set the contract up. After that lines are used to encumber funds for each year.

Getting Back to Business

- Some rolled POs may fail the payment schedule projection (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.
- Re-examine how you are applying your PSP methods to procurements to ensure they are appropriate for your planned spending. PSPs can be set at a hierarchy of levels (e.g., contract profile, individual contract / POs and / or an agency-wide default).

Contracts, POs & PSP

- Defaulted PSP Methods
 - Can be established at the BU, contract or contract profile level as appropriate
- Use historical spending patterns to create or update defaults
 - PSP Allocation Summary Report (NYKK4003) provides a summary comparison between an agency's PSP allocations for PO's and the actual expenditures recorded against these PO's
 - Navigation: Main Menu > Commitment Control > Budget Reports > **PSP Allocation Summary Report**
- Methodologies currently available
 - SFS Secure > Budget / Commitment Control (KK) and Payment Schedule Projection (PSP) Information Center > **Agency PSP Method Guide**
- Defaulted PSP methods can be overwritten on the PO with the appropriate security access

Checking PSP methods

- Checking PSP methods
 - Contract Profile: Main Menu > Set Up Financials/Supply Chain > Business Unit Related > Purchasing > Purchasing Definition > PSP Contract Profile Tab
 - BU Default: Main Menu > Set Up Financials/Supply Chain > Business Unit Related > Purchasing > Purchasing Definition

Post year-end agency questions

- **Q.** Now that we are in the new fiscal year, do we need to adjust the chartfield distributions on contracts?
- **A.** Yes, with the new fiscal year budget available, adjust the chartfield distributions on contracts so the new procurement ordering is not using the 2015-16 funding.

- **Q.** What should I do if there are POs that aren't fully paid and no additional payments are needed?
- **A.** If there are POs that aren't fully paid and no additional payments are needed, then do a change order and reduce the PO to the expended amount so the PO can be completed.

Lapsing Preparation

- In preparation for lapsing, agencies will start to pay their Citibank credit card bills and Prompt Payment Interest charged to exempt (federal) funds with the 2016-17 Appropriation. As most appropriations related to the active clearing account chartfield strings are due to lapse on June 30 agencies need to request SFS to update their clearing account chartfield strings.
- Lapsing reports:
 - NYAP1547 Pending Transactions for Lapsing Budget Report: Contains lapsing information for multiple transactions (Requisitions, Purchase Orders, AP vouchers, Travel Authorizations, Expense Reports, General Ledger Journal Entries)
 - This report is currently being updated for EE1 and moved from OBIEE to Financials. The navigation is being moved from AP to Commitment Control.
 - Agencies use this **before** the Lapsing Event to try to move their transactions through the lifecycle prior to the lapsing event.
 - NYAP3103 Voucher Deletion Report: Agencies can check this **after** the Lapsing Event occurred in order to see which AP vouchers were deleted.

Additional details on Lapsing timeframe and resources will be communicated to agencies in the following weeks.

Lapsing Tool Enhancements

- Made necessary updates to the existing Expense Report Mass Denial Tool to accommodate for use in Lapsing and with the flexibility to be used for any calendar event.
- The (NYAP1547) Pending Transactions for Lapsing Budget Report takes Commitment Control Information into consideration in order to provide more accurate information.



DOB and OSC New Fiscal Year Remarks

Mary Ryan- DOB, John Corbett- OSC

Controlling agency budgets this Fiscal Year

- 2016-17 Enacted Budget Appropriations are fully segregated
 - Most new appropriations entered to SFS, budget attributes and reappropriations to follow
- 2016-17 (and beyond) KK Financial Plan estimates loaded with controls turned on
 - Developed based upon Executive Budget, adjustment may be necessary to conform to Enacted Budget
- Review KK Financial plan
 - SFS: KK Financial Plan Status Report (NYKK4000)
 - Analyze NY: KK Financial Plan Budget Overview (DW264)

Contracts, POs & PSP

■ Purchase Order Creation

- Purchase Orders should be established for only the amount of spending expected from the current fiscal year (including carryout)
- Purchase order creates an encumbrance
- Encumbrance is budget checked against KK Financial Plan
- PSP methodology applied to Purchase Order

Adjusting PSP Method

- Agencies should review planned spending on their POs and where planned spending is not aligned with the agencies' expectation of spending against the PO, then the agency should consider a Re-Plan action to adjust the planned spending.
 - Planned spending will go beyond the lapsing period.
 - A Re-Plan should only be performed to better align planned spending on one or more POs to actual projected spending on the PO(s).
- Over-spending relative to planned amounts will be routinely monitored and will require PSP budget checks of those POs that will align planned amounts to what has already been spent.

Encumbrances established in excess of fiscal year spending needs

- If your agency has encumbered an excessive amount for the fiscal year funding used, agencies should reduce the existing POs and reduce the associated contract lines to match the spending needs.
- If your agency is issuing POs for goods and services that go beyond the fiscal year, the PO should be evaluated to determine if it is aligned with OSC and DOB policy and guidance.

The Purpose of a Purchase Order

- Contracts outline the terms and conditions.
- OSC Funds Reservation Policy requires that an appropriation authority is set aside for value of a contract when that appropriation authority exists.
- Once a contract is approved in SFS, a PO can be issued and associated with the contract to order specific activities under the contract.
- A PO represents:
 - The State's authorization to the supplier to initiate contract activities for a specified scope and amount within the contract authority (e.g., task, option, year, funding limits, scheduled, or other needs).
- A PO is the document in SFS used to authorize delivery of goods and services.
- The PSP method identified on the PO allows for agencies to apply a consistent approach to projecting cash impacts of procurement.

Reference: OSC Guide to Financial Operations,
Chapter XI-A.3 - Purchase Orders

Upcoming Business Events – Data Quality

▪ Data Quality – Production Financials Transaction

Clean-up

- Agencies are reminded of the NYS expectations for data quality
- GFO III. Statewide Financial System (SFS) Overview > 7. Data Quality
- SFS will be conducting clean-up activities per NYS guideline on a quarterly basis
- Current GFO focuses on PO but future guidance will be all transactions
- Next execution of clean-up is anticipated for early June with subsequent clean-up in early September and early December

Upcoming Business Events - Lapsing

- State Fiscal Year 2015-16 State Operations appropriations (excluding SUNY and CUNY and any re-appropriations) and the SUNY Stabilization Account appropriations lapse on June 30, 2016
- **Lapsing Guidance:**
 - OSC Guide to Financial Operations - XVII. Lapsing Appropriations
 - Office of Operations Events and Deadlines:
http://www.osc.state.ny.us/operations/calendar16/2016_cal.htm
 - Updated Lapsing materials can be found on OSC's website:
<http://www.osc.state.ny.us/agencies/lapsing/index.htm>
 - OSC will be issuing a Lapsing Operational Advisory reminder when all GFO materials and the Calendar transaction deadlines and notices are refreshed
- **Lapsing Event** – PFIN will be closed to Agency users at close of business on June 30.
 - BSC Hosted Agencies:
 - Agencies hosted by the BSC should be aware of BSC deadlines; the BSC may require earlier completion of certain activities. BSC Lapsing Guidance, Timelines, Deadlines and FAQs will be published on BSC's website:
 - <https://bsc.ogs.ny.gov/>



SFS Reminders

Stakeholder Services, Alex
DeFrancesco

Upcoming Data Refresh

- A refreshed Agency Business Process (ABP) test environment will be available on **Monday, May 2** with production data as of **April 21**.
- Summer 2016 update
 - SFS will stand up a BETA test environment in the coming months as part of SFS's regular release of system updates
 - Currently plan to use production data as of April 21 for a BETA environment
 - Look for additional information next month

Value Added Resellers

- A new methodology has been established for Contracts where unique contract IDs will be assigned for each value added reseller (VAR) participating under the same NYS Contract Number.
- OGS has created a number of new VAR contracts that are now available in SFS Production. The OGS List of Master Contract VARs is in the SFS Resources section of the Guides, Manuals, and Processing Resources page under the Reference and Resources menu item:
<https://www.sfs.ny.gov/files/support/PrimesWithVARsInSFS20160408.xlsx>.
 - The highlighted rows identify the Prime Vendor on the contract.

NYEX3770 Business Purpose Report

- Provides agencies the ability to view expense documents by business purpose. This report will allow agencies to see trends in spending and act on them.
- Additional information including report layout and interactive filters on running this report can be found on [SFS*Secure*](#).
 - Roles Needed to Access Report: NYF_AGY_TE_REPORTS
 - Navigation Path to Report: Main Menu > Travel & Expense > Expend By Business Purpose Rpt

SFS New Business Case Form

- To improve SFS understanding of user change or onboarding requests a new Business Case Form (BCF) has been developed and published.
 - The BCF replaces the former SFS Change Request form.
- A BCF can be submitted to the SFS Help Desk via an incident, using the SFS BCF available on [SFS Secure](#).
- A complete BCF will require an Agency sponsor (i.e. CFO)



Continue to check the SFS weekly release schedule to see status of improvements and fixes that are being made on a consistent basis.

Community Councils

As a follow up to the communication sent to Agency Coordinators on April 19, SFS has refreshed the charter, scope, and branding of User Groups.

- Going forward, SFS User Groups will be referred to as Community Councils.
- The mission of Community Councils is to promote best practice sharing and enterprise business process consistency while developing a culture of collaboration between SFS and agencies.
- There will be five Community Councils that will focus on a group of functional areas, or modules, their SFS use and the associated agency business practice. Each Community Council will address bulkload impacts if applicable. The five Community Councils are:
 - **Core Financials Council** (Budgeting/Commitment Control (KK) and General Ledger (GL), and Payment Schedule Projection (PSP))
 - **Billing, Grants, Projects and Revenue (ESA) Council**
 - **Procure-to-Pay Council**
 - **Administrator (ADMIN) Council** (Agency Security, Workflow, Credit Card Administration)
 - **Asset Lifecycle Management (ALM) Council**

Community Councils

- Each Community Council will provide a participatory forum for SFS users and subject matter experts to:
 - Drive consistency, through discussion of statewide best practices
 - Develop a culture of collaboration between SFS and agencies
 - Increase agency engagement in SFS approved development projects and roadmap activities
 - Support strategic involvement in change management and communications activities
- SFS will invite agencies to participate in Community Councils, considering agency size, number of SFS users, type of SFS access, module use, hosting relationship, and organizational structure.
 - CFOs of specific agencies will be contacted in early May with a request to provide nominations of individuals to participate on specific Community Councils.
- Additional details regarding the scope, role of the Community Council member, organization, etc., can be found in the Community Council Charter posted on SFS*Secure* at the following link:
 - <https://www.sfs.ny.gov/index.php/user-community/community-councils>

SFS queries and reports

- Queries page refreshed
 - NYEX3770 Travel and Expense Query- View expense documents by business purpose
 - NY_PSP_PL_DET PO info displayed at the line level
 - NY_PSP_PLD_DET PO info displayed at the Distribution level
 - [Queries page on SFS Secure](#)
- [Reports user guide](#)

Upcoming Training Updates – As of 4/20

Updates to self-paced trainings expected on 4/20 include, but are not limited to:

- Procurement Contracts 210
 - Added information about Project and Activity fields for Leases
- Statewide Financial System 205
 - New topics focused on Requesting a New Password and Changing or Setting up Forgotten Password Help
- Commitment Control 215
 - New topic focused on Running the Posting Process for Agency KK.
- Accounts Payable 210
 - Added information to the Vouchers Built by SFS topic regarding Real Estate vouchers

Additional information regarding SFS Self-Paced Training can be found on the Training & User Education page on SFS Secure.

Fast-Track Support

- Beginning the week of 4/18 Fast-Track calls are now scheduled on Tuesdays from 1:00-3:00 p.m. for Agencies to participate in.
- For more details check the SFS Meeting and Events calendar on SFSSecure.

Questions and Answers

Submit your questions via the WebEx Chat

If you have any questions after the checkpoint call, please send them to the SFS Help Desk and include your question topic in the subject line of the email.

SFS Help Desk: HelpDesk@sfs.ny.gov; (518) 457-7737; (877) 737-4185 toll-free