



NEW YORK STATE
Unified Court System

RONALD P. YOUNKINS, ESQ.
EXECUTIVE DIRECTOR

EUGENE MYERS
CHIEF OF OPERATIONS

OFFICE OF COURT ADMINISTRATION

MAUREEN H. McALARY
DIRECTOR, DIVISION OF FINANCIAL MANAGEMENT

Division of Financial Management

DFM Bulletin	Number 1407	June 16, 2014
---------------------	--------------------	----------------------

TO: Holders of the Financial Planning and Control Manual

SUBJECT: Statewide Financial System (SFS) Processing and Monitoring Procedures

Please review and be guided by the Office of the State Comptroller's "Guide to Financial Operations" (GFO), together with the additional information provided, in the following categories:

Adding a New Vendor and Associated Requirements - GFO Chapter X Guide to Vendor/Customer Management.

Accounts Payable (AP) Payment Processing Information - GFO Chapter XII Expenditures.

In addition to GFO guidelines, the AP processor/approver is responsible for verifying:

- Arithmetical accuracy of the invoices;
- No prior payment (duplicate) has been made;
- Invoiced amounts match that of an agreement or contract;
- Partial payment of a purchase order is due to partial receipt of the requested items/services;
- All contractual requirements are met before payments are made;
- Applicable matches (vendor, item quantity, dollar amount, etc.) are performed between invoice, purchase order and receipt.

Purchase Order (PO) Processing Information - GFO Chapter XI Procurement and Contract Management.

In addition to GFO guidelines, the PO processor/approver is responsible for verifying:

- The correct contract is associated with the PO;
- Voucher payments have been applied to the appropriate PO and the PO is liquidated;
- Partially liquidated PO's are still awaiting delivery of goods/service;
- Receiving documentation is forwarded in a timely manner to the appropriate payment office; this includes notification of services received.

Note: For both AP and PO, the UCS does not require receiving be completed within SFS as long as a notice of receipt, (i.e. signed packing slip) or other receiver sign-off (printed name and date), is included with the voucher.

Replenishing an Advance or Sole Custody Account - GFO Chapter XII Expenditures, 6. Unique Payment Situations, L. Replenishing an Advance or Sole Custody Account.

Monitoring Expenditure Activity - SFS provides reports to properly monitor expenditure activity. For your convenience, below is a chart detailing the items that must be continuously monitored, and the recommended SFS Reports.

Items to be Reviewed	<u>Suggested Reports</u> (OBIEE, Module Report, or Query as noted)
Identify receiving adjustments which include excess and under-shipped receipts as well as receipt match issues.	Match Exceptions Report (APY1090 - AP Module/Reports) Receipt Summary (POY5001 -PO Module/Receipts/Reports) Receiving Report (NYPO3202 - OBIEE)
Review Purchase Order (PO) status including identifying outstanding PO's.	Pending POs <u>Query</u> (NY_PO_NEXT_APPROVER_BU) PO Listing By Status (PO Module/Reports) Req and PO Budgetary Activity (PO Module/Reports) Vouchers Exceeding Standalone POs Report (NYAP0021-OBIEE)
Identify overrides of established PO processes, terms and conditions.	Match Exceptions Report (APY1090-AP Module/Reports) Match Exception Override Report (NYAP3545-OBIEE)
Identify reasons for any long outstanding items by reviewing outstanding goods receipts, PO's or Invoices.	Pending POs <u>Query</u> (NY_PO_NEXT_APPROVER_BU) AP Aging Report (NYAP3580-OBIEE) PO Receipts Overdue (NYPO3628-OBIEE)
Investigate unmatched PO's and ensure accurate processing of supplier invoices/credit memos.	Refund Adjustment Report (NYAP0463-OBIEE) Voucher Deletion Report (NYAP3103-OBIEE)

Items to be Reviewed	<u>Suggested Reports</u> (OBIEE, Module Report, or Query as noted)
Ensure accurate processing of payments.	Vouchers ready for Approval Workflow (NYAP3213-OBIEE) Payee Listing (NYAP0621 (by BU) and NYAP0622 (by Dept) –OBIEE) Paid Voucher <u>Query</u> (UCS_AP_VOUCHERS_PAID_V6_PUBLIC)
Aged AP Analysis	AP Aging Report (NYAP3580–OBIEE)


Below is a link to other available reports that you may find useful for monitoring and review:

http://www.sfs.ny.gov/index.php?option=com_content&view=article&id=574&Itemid=695

Please use the OSC GFO page or the DFM Statewide Financial System page on the UCS intranet for more information. If you need further assistance please contact the Division of Financial Management at 518-453-8600.

Please ensure distribution of this bulletin to all personnel within your respective jurisdictions who may be responsible for the processing of, or the monitoring of internal controls relating to, all SFS transactions. Thank you for your cooperation.

NYS UNIFIED COURT SYSTEM
FOR ADMINISTRATIVE
PURPOSES ONLY


Maureen H. McAlary