CGI Advantage® 4

Financial
Year End Manual

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Purpose

The purpose of the Year End Manual is to guide CGI Advantage sites through year end processes for chart-of-account, budgeting, and accounting. Details are given to assist with implementation concerns through to the evaluation of results. This guide was not created to replace any CGI Advantage user guide or run sheet documentation, but rather to augment them by pulling each together to evaluate options and interactions. Run sheets contain mainly technical documentation about how a particular batch process runs. User guides give a listing of processes in a particular area of the application along with an overview, intending to making readers aware of a process with enough information to determine if the process may be applicable or not. However, these guides stop short of providing *how to* information in order to inform a user to:

- Take appropriate setup steps at implementation to ensure the application is prepared to use the process.
- Understand the various methods of selection, processing, and output.
- Appreciate the business and reporting impacts of the process.
- Ensure all assurances have taken place before running the process.
- Verify the results of the process are as expected.

This guide should be used in conjunction with standard documentation guides:

- The *CGI Advantage Financial Run Sheet Guides* – each of the run sheet guides contain detailed information on every process.
- *CGI Advantage System Administration Guide* – contains general information about running batch processes.
- CGI *Advantage "Functional" User Guides* and online page/field help – all contain functional information about the online pages used by the processes.

NOTE: *Throughout this guide, you will find Notes and Warnings formatted like this note. Please pay special attention to these highlighted items.*

NOTE: *Detailed information on the processes included in this manual may be different for your site if you are on a prior version of the software or have any custom modifications.*

NOTE: *Use of the term 'year' in this manual is in reference to a Fiscal Year and not a Calendar Year or Budget Fiscal Year unless otherwise noted.*

Overview of Year End

The various year end processes included in this manual are those that are either always or often run before a year ends, at the end of a year, or run in a subsequent year against the prior year. Most of the processes discussed are batch related with the addition of a few manual processes that mimic or augment an automated process. All are not applicable to any single site, but a few are mandatory for every site. The order and timing of most are flexible to meet laws, policies, and procedures specific to each site. When one process must precede another, that interaction will be called out.

This manual groups the various processes covered into the following major groups based on functional tasks performed.

Grouping	Process
Reference Data Setup	Manual Updates for Reference Data
	New Year Table Initialization
Budget Preparation	Budget Preparation – External System
	Budget Preparation – Budget Roll
Budget Maintenance	Roll Unused Budget Authority
Addressing Open Items	Open Activity Lapse
	Open Activity Roll
	Open Activity & Budget Roll
	Accrue Open Encumbrances
Multi-Year Contract Maintenance	Contract Roll
Prior Year Accounting Wrap Up	Manual Accounting Adjustments
	Depreciation
	Periodic Debt Accounting
Adjusting Between Current and Prior Year	Manual Accounting Adjustments
	Clearing Account Maintenance
	Pre Annual Close Sweep
	Automatic Accrual & Clearing
Update New Year Accounts	Long Term Account Reclassification

Final Year End Activities	Annual Close – Accounting
	Populate FY Beginning Balance

There are certainly other tasks to perform at year end that are not listed above, either of the manual, report, or batch variety, most of which are specific to a given site and will have to be woven into those processes above that are used. Other processes are non-financial in nature such as Revaluation in Fixed Assets and the Annual Close for Inventory, which are not included in this manual.

> ***NOTE:*** *Other application processes at year end may include those of system maintenance or archiving variety. Those are beyond the scope of this manual.*

The following chart (*Exhibit A)* shows the different processes covered in this manual along with suggested time frames when each could occur. Some dependencies are depicted below (Open Activity Roll before Annual Close) but many are not (Depreciation and Annual Close overlapping months 3 – 5 in year 2 when it is known Depreciation must be completed first). All dependencies are clearly given in later sections.

Five months into year 2 is not the latest point in which to complete year end, but going past that is something that many desire not to do. Waiting until month 10 in year 1 to start is not a firm rule either. In fact, testing each of these against production data (especially when run for the first time) should start on or before month 10.

Month – Year **Process**	**10** **Y1**	**11** **Y1**	**12** **Y1**	**1** **Y2**	**2** **Y2**	**3** **Y2**	**4** **Y2**	**5** **Y2**
New Year Table Initialization								
Manual Reference Data Setup								
Budget Preparation – External System								
Budget Preparation – Budget Roll								
Roll Unused Budget Authority								
Open Activity Lapse								
Open Activity Roll								
Open Activity & Budget Roll								
Accrue Open Encumbrances								
Contract Roll								
Depreciation								
Periodic Debt Accounting								

Manual Accounting Adjustments								
Clearing Account Maintenance								
Pre Annual Close Sweep								
Long Term (Debt) Account Reclassification								
Annual Close – Accounting								
Populate FY Beginning Balance								

Exhibit A: Time Frames for Year End Processes

The following chart (*Exhibit B)* breaks each process down by what types of updates are being made. As the timing of year end processes is flexible, the term 'Year 1' can be the current year when running a process before the end of the year or it can be the immediate prior year when running a process after a new year has stared. 'Year 2' can refer to a future year and the current year for the same reasons.

- *Reference Data* are codes and controls that are defined by FY or BFY.
- *Yearly Tracking* is a type of page update where totals of activity are summarized and presented in total for informational purposes.
- *Year 1 Budget* is the update of Current Budget in the prior/current BFY.
- Year 2 Budget is the update of Current Budget in the current/future BFY.
- Year 1 Accounting is debits and credits made in the prior/current FY.
- Year 2 Accounting is debits and credits made in the current/future FY

Type of Updates **Process**	**Reference Data**	**Yearly Tracking**	**Year 1 Budget**	**Year 2 Budget**	**Year 1 Accounting**	**Year 2 Accounting**
New Year Table Initialization	X					
Manual Reference Data Setup	X					
Budget Preparation – External System				X		
Budget Preparation – Budget Roll				X		
Roll Unused Budget Authority			X	X		
Open Activity Lapse					X	
Open Activity Roll					X	X
Open Activity & Budget Roll			X	X	X	X

Accrue Open Encumbrances					X	
Contract Roll						X
Depreciation					X	
Periodic Debt Accounting					X	X
Manual Accounting Adjustments					X	X
Clearing Account Maintenance						X
Pre Annual Close Sweep					X	X
Long Term Account Reclassification						X
Annual Close – Accounting					X	X
Populate FY Beginning Balance		X				

Exhibit B: Update Types for Year End Processes

Reference Data Setup

Before any budgeting or accounting activity can occur in a new year there must be a large amount of reference data setup for that year. That data includes, but is not limited to, chart of account codes, dates, accounting periods, and controls. Please do not take the previous statements to mean that every page with a year on it has to be setup for the next year. That is not the case for pages that are not reference data but are summary updates from transaction processing. The Balance Sheet Balance by Fiscal Year (BBALFY) is one such page. Still other pages with years are not reference data for transaction processing but are parameter pages for batch programs. The 1099/1042-S Date and Transaction Parameters (1099D) is one such page.

This reference data setup effort is not a one-time event. It is an effort that spans several weeks if not more. Much of the data that is based on a year is the same between years, so a copy of one year to create another is all that is needed. To assist with the bulk of data creation in the next year there is a batch program provided – the New Year Table Initialization (NYTI) process. Since the reference data setup effort spans several weeks, Manual Setup has to make up the remainder of that time frame.

Manual Reference Data Setup

General Information

Manual reference data setup is the act of one or more users with sufficient security access reviewing data on reference pages to determine if any deletions, additions, or modifications should occur.

Required System Pre-Configuration

Enable security for those users charged with this manual setup task.

Timing at Year End

The manual process starts before the automatic NYTI process and goes on after it. Those manual activities that occur before NYTI are users evaluating if a code was ever used in the prior year and if it should continue to 'roll forward' into the next year. If not, then the code can be made inactive so that the NYTI process will not copy it forward. (For more information, refer to the "NYTI Advanced Run Scenarios" section.) An alternative to code evaluation before NYTI is code evaluation after. Many times both are required. Evaluation after would entail a user deleting a code that should not exist in the next year.

NOTE: *Deleting chart of account codes is likely to be a more involved process than deactivating them so they do not copy forward. The reason is the Application Parameter (APPCTRL) record for COA Deletion Prevention. When enabled, the application will review if the code has been used.*

NOTE: *If a COA code has been used so that deletion is not desired, then use the Effective To field and the Active indication to prevent further use.*

Post NYTI manual steps include making minor changes (names or settings) or adding new codes for the next year that did not exist in the prior year. Some amount of manual setup will surely extend into the next year, catching codes that do not exist and minor changes that should be made.

Other manual steps may occur after the start of a year. There are times when controls should be changed in the prior year to be more or less restrictive. For instance the budget control that ensures the unobligated amount does not fall below zero has a control level of reject during the year but after the year ends and cross-year activity begins the control level should be changed to override. Adjusting tolerances is another example of a prior year control change. Even adding controls for a prior year may be applicable.

Steps to Take Before Process

None

Run Variations

None

Verification

The tools used for manual evaluation and verification consist of either downloads from the financial application or data warehouse reports such as from infoAdvantage. As always, a user could use the online pages within the application.

Advanced Run Scenarios

None

Post Processing Tasks

None

New Year Table Initialization

General Information

In the Chain Jobs sub folder under the Utilities folder there is the NYTI Process (or New Year Table Initialization), which uses the System Maintenance Utility (SMU) to copy records from a 'base' year, create XML files with that data for the 'target' year, load those XML files, and then report on each table loaded. Those tables that the NYTI Process prepares for the target year are listed in an input text file read by the program (i.e. NYTI_TABLE_PARM.txt detailed in the "Advanced Run Scenarios" section). The tables are listed in a particular order to ensure that hierarchically related tables are loaded in the proper order as system edits are enforced when loading target year data. The NYTI process does not copy account balances, nor does it create transactions. This is not a year-end accounting process; it is a way to update your reference tables for the new fiscal year and budget year.

Required System Pre-Configuration

Security access to run the NYTI chain job is required for the individual running the process. The "Advanced Run Scenarios" section contains some optional pre-configuration tasks.

Timing at Year End

You must run the NYTI process before beginning any activity in a new year, but exactly when is that? The best practice is to run NYTI after a comfortable level of manual evaluation has been done to remove unused codes or at least inactivate them so NYTI can be enabled to not copy them forward. However, that pre evaluation is optional and some choose to roll all data forward into the target year and address any manual cleanup later.

The other year end processes that require reference data in the next year are as follows from those marked in *Exhibit B* as Yr2 Budget or Yr2 Accounting. This list includes only those that ***can*** be run before the start of the next year, at which point reference data has to be in place for normal system activities.

- Budget Preparation - External System (e.g. Performance Budgeting)
- Budget Preparation - Budget Roll
- Roll Unspent Budget Authority
- Open Activity Roll
- Open Activity & Budget Roll
- Contract Roll
- Manual Accounting Adjustments

Steps to Take Before Process

Manual Data Setup

All manual reference setup steps should be completed.

Default Job Parameters

The job parameters for the NYTI Process can be automatically pre-filled with system defaults from Job Setup. If appropriate, you can change the default settings for some of the options on the Batch Setup pages. For example, you may want to change the default setting for copying both active and inactive codes to the setting that copies only active codes so that the individual running the process each year does not have to remember to make the change.

Custom Tables

Any custom tables keyed by a year that should have data rolled forward should be added to the NYTI_TABLE_PARM.txt file in the appropriate location. That location can be determined by looking at the table being added: Are there any fields on this table that are defined on another table also keyed by a year? If so, the custom table should go after any such table identified when answering that question. Please see the "Advanced Run Scenarios" section for information on the format of that file. Many times this is done with the delivery of the custom table, but that should be verified and not assumed.

Cache Memory

Any tables in NYTI that are put into cache memory have to be taken out of memory by a system administrator so that NYTI can insert new data. After a successful NYTI run these tables should be put back into memory.

Run Variations

You can run the NYTI process in *Populate* mode or in *Delete* mode. In *Populate* mode, the process takes the records in the base (current) year and copies them to the target (new) year, changing all the year values to the target year. Any Effective From or Effective To date values are also incremented to the target year if enabled by setting the Effective Date Rule batch parameter to 1. If set to a value of 2, effective dates are cleared out on the target year records.

The *Delete* mode is used to delete records from reference tables, and is used infrequently. Do not use *Delete* mode until all activity against that year is completed and reporting against the year will no longer be done within the application. Reporting will then have to be done in a data warehouse if reports are to display any information such as names. If you choose to delete a year, that year must be marked "hard closed" (that is, the Closing Process Run indication is *True* on the Fiscal Year page).

> ***NOTE:*** *The CGI Advantage software does not require you to delete old fiscal years. Many sites maintain historical data online for a number of years.*

Critical parameters for *Populate* mode are the Base Year, New Year, and Run Mode of 1. Critical parameters for *Delete* mode are the Delete Year and Run Mode of 2.

Verification

The NYTI process creates an activity log. Any failures in the process are noted. From the report data you can determine if you need to correct the problem and rerun the job. See the Appendix for a sample page from the NYTI Report.

Most errors that appear in the NYTI Report are the result of errors encountered during data import, because importing data through NYTI causes the same edits you would receive during online data entry. If you receive errors on the NYTI Report, review the records that created the errors, to determine the solution. Often, the culprit is missing data. If so, verify that the NYTI parameter file has the appropriate tables in the correct processing order. You can run the NYTI process multiple times, but records that were rolled successfully in earlier runs can receive duplicate record errors in later runs if proper parameter settings are not made. Records that failed to save with NYTI can also be added manually after correcting the problem that caused the initial failure.

Advanced Run Scenarios

Multiple NYTI Runs

Multiple runs are possible. When a subset of all of the NYTI tables should be loaded before the others, multiple parameter files can be created and used in different runs. Be sure to specify the correct parameter file name in the various runs instead of using the default.

When reference data setup has occurred after the first run of NYTI it is possible to run the program again; in fact, it can be run as many times as necessary. A parameter, TABLE_OVERLAY, will make subsequent runs behave differently than the first run. When set to F – no overlay – the program will not change any data already created for the target year. The report will log each instance where the target year record already exists in the error report. This logging will cause the program to run slower. When set to T – yes overlay – the NYTI program will do a Time Date Stamp comparison between the source year and the target year records (if the target year record already exists – if not it will be created as normal).

- If the source year record is older than the target year record, the program will leave the target year record as is. This is because the target year record is newer, either from the prior NYTI run or from a manual update, and should remain as it.
- If the source year record is newer than the target year record, the program will overlay that target year record with a new copy of data from the source year record. This is because the source year record was updated or corrected after the target year record was created, thus the target year record should get the same update/correction.

Using the overlay feature allows users to add a new record in the source year that will be copied to the target year, to update a target year record and be assured that update will not be overlaid, to change a source year record and be assured that update will be pushed to the target year, and to add a target year record and know it will not be deleted.

Large Scale Editing

It is possible to make changes to the XML files between Job 1 (NYTI process) and Job 2 (Import tables). This is a useful solution if you have a large number of redundant changes to apply. For example, a renaming that affects a large number of codes can be performed through a text “find and replace” process. You can make these changes directly to the XML file by using any text tool. To do this, you should only run the first step of the chain (with other steps deactivated). Then modify the XML files. Finally, run the remainder of the chain with the first step deactivated.

Effective Date Use Parameter

The Effective Date Use parameter has two settings: 1 – Copy dates from the base record to the target, incrementing the calendar year portion of the date. 2 – Create target records without any

effective date information, even if present on the base record. This decision is made for all tables in a run, which may lead to advanced run scenario 1 above.

The functional difference between the two settings comes down to the use of effective dates. If effective dates are used to limit activity against every year at the same time (e.g. Snow Removal activity code cannot be used after 4/30 or before 11/01), then the parameter should be 1. If effective dates are used to stop use of a code only in a given year, then the parameter should be set as 2.

Inactive Code Parameter

The Inactive Code parameter has two settings: 1 – Copy all records either active or not from the base record to the target. Any inactive record in the base year will be made active in the target year. 2 – Copy only active base records to the target year. This decision is made for all tables in a run, which may lead to advanced run scenario 1 above.

The functional difference between the two settings comes down to the use of the Active indication. If the indication is used to limit use in a given year, then the parameter should be set to 1. The term 'limit' was used because the inactive code error is delivered as override with an option to suppress the error on Transaction Control with the Inactive COA Codes Allowed indication. If the Active indication is used to mark a code as ending in a given year, then the parameter should be 2.

Custom NYTI Parameter Files

Running with a modified NYTI parameter file comes from either advanced scenario 1 or the existence of a custom table with yearly data. The default name for the file is NYTI_TABLE_PARM.txt, but you can rename the file. Specify the name of the file you are using for a specific NYTI run in the Parameter File parameter. The location of the parameter file is also specified as a parameter. Usually, this parameter will show the relative location, which appears as "$$AMSROOT$$Parms". A longer discussion on the relative locations is in the NYTI run sheet in the *CGI Advantage Financial – Utilities Run Sheets* guide.

You can view the parameter file before running the NYTI process. In addition to the list of tables that are selected for the job, the parameter file contains the specifications for each table's contents used by NTYI, depending on data found on that table. The following is a sample of tables from the file showing the variations.

```
TABLE_NAME=R_FY ←Fiscal Year
KEY_SELECTION=FY
CALENDAR_DAYS=F
FY=I
FY_END_DT=I
CLSD_FL=F
CLSNG_PROC_RUN_FL=F
_PARAM_LINE_

TABLE_NAME=R_APD ← Accounting Period
KEY_SELECTION=FY
CALENDAR_DAYS=F
FY=I
APD_END_DT=I
CLSD_FL=F
CLSNG_PROC_RUN_FL=F
_PARAM_LINE_

TABLE_NAME=R_CLDT ←Calendar Date
```

```
KEY_SELECTION=FY
CALENDAR_DAYS=T
FY=I
CAL_DT=I
_PARAM_LINE_

TABLE_NAME=R_GEN_SOPT ← System Options - General Tab
KEY_SELECTION=FY
CALENDAR_DAYS=F
FY=I_PARAM_LINE_

TABLE_NAME=R_BSA ← Balance Sheet Account
KEY_SELECTION=FY
CALENDAR_DAYS=F
FY=I
EFBGN_DT=O
EFEND_DT=O
ACT_FL=O
_PARAM_LINE_

TABLE_NAME=GN_BUD_RULE ← Required Budget
KEY_SELECTION=BFY
CALENDAR_DAYS=F
FY=I
EFCT_DT=I
```

Figure 2-1: A partial view The NYTI Parameter File.

The following table is an explanation of some settings and values that may be found for tables in the text file:

Some common abbreviations used in the text file:

- I = Increment
- B = Blank
- O = Optional
- T = True
- F = False

Setting Name = Sample Value	Description
TABLE_NAME=R_FY	The database table name.
KEY_SELECTION=FY	The criteria used for the selection of records from the table. All NYTI parameter records are set to *FY* or *BFY*.
CALENDAR_DAYS=F	A special indicator to identify the Calendar Date table as it requires special logic. All of the tables have this parameter set to *False (F*), except for R_CLDT (Calendar Date).
FY=I	*Increment* (*I*) means that the new value for the Fiscal Year should be one integer higher. Note - The row of FY=I is the last common parameter setting that appears for all tables. All settings following it are specific to a table because it contains certain type(s) of information.
FY_END_DT=I	This tells the NYTI process to make an update that is specific to the Fiscal Year table - increment the End Date by one year (for example, 12/31/2006 will be copied as 12/31/2007).
APD_END_DT=I	This tells the NYTI process to make an update that is specific to the Accounting Period table - increment the End Date by one year (for example, 12/31/2006 will be copied as 12/31/2007).
CLSD_FL=F	This tells the NYTI process to insert the new fiscal year or accounting period record with a *False* value in the field called Closed. This occurs for the system-wide pages for Fiscal Year and Accounting Period as well as the pair of pages for Fund and Department closings.
CLSNG_PROC_RUN_FL=F	This tells the NYTI process to insert the new fiscal year or accounting period record with a *False* value in the field called Closing Process Run.
CAL_DT=I	This tells the NYTI process to increment all calendar dates by one year, or more if the Base Year and New Year are not consecutive.
EFBGN_DT=O	This tells the NYTI job that the table contains an Effective From or Begin date that will be incremented and carried forward to the new record if the Effective Date Rule parameter for the batch job is set to *1*. The Effective Date Rule value may be either:

Setting Name = Sample Value	Description
	1 = Copy Effective Date and advance the year 2 = Blank the date values
EFEND_DT=O	This tells the NYTI job that the table contains an Effective To or End date that will be incremented and carried forward to the new record if the Effective Date Rule parameter is set to *1* (copy effective date and advance the year). The Effective Date Rule value may be either: 1 = Copy Effective Date and advance the year 2 = Blank the date values
ACT_FL=O	This tells the NYTI job that the table contains an Active indication. If the Inactive Code rule parameter is set to a value of *2* (copy only active data), then only active records in the Base Year will be copied to the New Year. The Inactive Code value may be either: 1 = Copy Inactive data also 2 = Copy only Active data
EFCT_DT=I	This tells the NYTI job that the table has an Effective Date field so that the date is incremented when copied to the New Year.
_PARAM_LINE_	This is the “end marker” for information on a single table.

Post Processing Tasks

Budget Flex Server Memory

As there are tables involved in NYTI that are in the Budget Flex Server memory, all instances of the application have to be bounced after NYTI for the new records on such tables to be recognized.

SDO Cache

Any tables taken out of SDO Cache memory before the NYTI run should be put back into memory by the system administrator.

New Record Adjustments

After a successful NYTI process, review the new year Chart of Accounts tables and the system options tables, and make any needed changes. Such items are discussed in the Manual Data Setup" section. The following tasks call out some of the common and very important post processing tasks.

Required Budget

If your Required Budget page has records on it where any of the COA columns where data is defined by a year (Fund, Department, Appropriation, Appropriation Type) are completed, be sure to add any new year records that failed because a code was not rolled into the new year. For example, if two departments combined into one new code, a record will have to be entered for that new code. If two departments combined into one of the two previous codes then there is no post processing task.

BFY Staging – Stage Dates in New Year

Stages defined in BFY Staging that must end a given day instead of date will have to be adjusted on all four state definition pages. For example a stage that must end on the 2nd Friday in July will have to be adjusted each year.

Automatic Transaction Numbering

By default, all automatic transaction numbering records restart with transaction number 1 in the new year. It is not common to change this, but if you feel it is necessary, you can continue the current transaction numbering sequence from the old year into the new one. To accomplish this, you must manually specify the starting number for the new year in the Automatic Transaction Numbering table by updating the Number From field so that the value is one integer higher than the "Last Number" for the prior year. This must be done after all transaction processing in the prior year and before any starts in the new year.

Vendor Self Service

For sites that use Vendor Self Service, there is a one-time synchronization job for VSS that you must run after the NYTI process completes. The One Time Export Tables batch process exports all supporting table records for data such as the Department and Unit codes, which are updated by the New Year Table Initialization process.

Calendar Date

For sites that use Cost Accounting Reimbursement, Accounts Receivable Billing, or Accounts Payable Lag Days for EFTs; there are several indicators that have to be updated for the record loaded by NYTI for a new year: Weekend, Holiday, Federal/Bank Holiday, and Billing Month Last Day. Because many of these flags change with each calendar year, the information updated on this page after the New Year Table Initialization process must be updated for those holidays that are not always on a certain date and the change in weekend dates. This update can be done manually or with an XML file loaded in update mode. Failure to do so could result in unexpected results when trying to generate Checks / EFTs, as well as when processing reimbursements and receivables.

Budget Preparation

Budget preparation is a generic term used to include the gathering of budget and accounting actuals, forecasting, adjusting for legislated budgets, and loading of budgets into Advantage Financial. Many of these activities are not performed within Advantage Financial. This section covers the scenarios of loading budgets from a budget preparation tool (CGI Advantage Performance Budgeting or from other third party tools) and internally, using the CGI Advantage Budget Roll process. The option of manual budget preparation is always available as well.

This section assumes the reader is already familiar with the budgeting area of the application. Please refer to the *CGI Advantage - Budget Control User Guide* for more information on any term mentioned. All the various elements in the budgeting area are detailed in the “Understanding Budgeting Components” sub section under Advanced – Setup.

Budget Preparation – External System

General Information

Although CGI Advantage provides a simple budget rollover, your site may use other software to support a more robust budget development process. For example, CGI Advantage Performance Budgeting supports a multi-phase process with full audit trails for all requests. Data from any other system may also be uploaded for budgets, assuming it is formatted to match the XML layouts for the budget transaction.

Common Steps for Loading Budgets

Regardless of the software you use, the same general tasks are involved in loading budgets from outside of CGI Advantage.

Step One: Create XML files of budget data in the budget transaction format. Depending on your use of budget structures you may need to prepare multiple XML files-one for each structure.

> ***NOTE:*** *Create budget transactions at the lowest level of budget detail only. The CGI Advantage System Maintenance Utility is capable of performing a budget rollup to fill out higher level budgets. Also, use a tool such as Pervasive Data Integrator to map your software's output files into an appropriate XML format.*

Step Two: Load XML files of budget data using the System Maintenance Utility. Use the SMU's custom parameters, and select the SMU Action Code *Import Transaction*.

> ***WARNING:*** *Load transactions only. Don't validate or submit the transactions before performing the Rollup Lines tab action when the budget structure has more than one budget level.*

Step Three: Use the System Maintenance Utility to perform a Rollup Lines on your budget transactions. Use the SMU Action Code = *Transaction Other Actions*, and the transaction sub action code *303* (*Smart Budget Rollup*).

Step Four: Submit the new transactions, using the System Maintenance Utility. Select the Action Code = *Submit Transaction*.

If any budget transaction fails to load, it will be written as an XML file to the Import/Export Error directory. If changes to that XML file are made or online options are changed to allow the loading of those that failed, you should move the file to the Import/Export directory and run a System Maintenance Utility job to load those transactions.

Using CGI Performance Budgeting

If your site uses CGI Performance Budgeting to prepare and possibly maintain budgets, that data must be converted into XML o that it can be imported for budget control. Most sites use a third-party tool such as PDI Mapping for that conversion.

Using Other Third-Party Budget Software

If you use another third-party budget software application, you must create XML records that are in the format used by Budget Transactions.

> ***NOTE:*** *Use a tool such as Pervasive Data Integrator to map your software's output files into an appropriate XML format.*

To see the format of the XML files you must produce, export existing transactions from CGI Advantage, using the System Maintenance Utility. The best technique is to fill out a new blank budget transaction at the lowest level only, using the same fields you require for your site. Do not perform a smart budget rollup. Also, do not validate or submit the transaction before you run the SMU to export the transaction, because it only has the "required" fields populated. Exporting this transaction will produce an XML file that can be used as a guide for the file your new budgets must follow.

> ***NOTE:*** *After exporting the transaction as a guide, validate one of your new transactions to verify that you entered all necessary fields.*

If you don't use any budget software for a given budget structure, refer to the next section on using the CGI Advantage Budget Roll process. It may be easier to use the native CGI Advantage solution for entering certain budget structures, instead of using a separate system.

Required System Pre-Configuration

Security access to run the System Maintenance Utility is required for the individual running loading the budgets.

Timing at Year End

There are two timing issues. The first is when to sending data to the budget preparation tool and the other is when to load new budget lines from the tool.

When sending data to a preparation tool, the later one waits before sending the more current the information. However, waiting too long will not allow for preparation to occur before the start of a new year. For this reason, multiple years of data can be used and from that a forecast can be made for the remainder current year in progress. Additionally, subsequent updates of activity after the initial load of data can be sent from CGI Advantage.

The primary determinate for loading new budget lines is final approval by a legislative or other controlling body. For these lines, the timing is in the hands of others. Other budget lines that do not have to have that approval can be loaded as soon as they have had their final review.

> ***NOTE:*** *If budget lines are loaded early and pre-processing activities are allowed through BFY Staging, a system can start allowed accounting and budget activity immediately.*

Budget lines will have to be loaded before the following year end processes or transactions from them will fail because these do not have the ability to create budget lines:

- Open Activity Roll

- Contract Roll
- Certain Manual Accounting Adjustments

Steps to Take Before Process

Chart of Account Setup

All Chart of Account codes interfaced on budget transactions must be valid within Advantage Financial. The NYTI process and manual reference data setup cover most of the required codes, but if codes can be defined as part of the budget preparation process, then those will have to be loaded into Advantage Financial before any transactions.

Budget Transaction Setup

Budget transactions may routinely go through an approval process for changes after the initial load. That initial load should not go through that process. Unless workflow is setup so that these transactions don't meet workflow rules, then the Submit Phase should be set to Final on Transaction Control for the budget transaction code(s) from budget preparation. Furthermore, the budget preparation transactions often have a future fiscal year and accounting period on them while that is usually prohibited. If this is the case, the Future Fiscal Year and Future Accounting Period indications should be selected on Transaction Control.

Run Variations

None

Verification

Verification is first done by seeing all transactions loaded processed to a final state. A secondary verification would be a comparison of budget lines from within financial to the preparation tool through a custom report.

Advanced Run Scenarios

Loading budget controls as part of budget preparation is also possible to turn individual line controls up or down in severity. Loading of these would be done in the same XML file but into a BG_DOC_CNST. An export of a processed transaction with a line constrain will provide an XML template for that transaction component.

Post Processing Tasks

If budget line constraints are not loaded (see Advanced Run Scenarios) as part of the initial budget line load, the line controls can be added trough manual transaction creation within Advantage Financial. This task is often needed for budget lines that should have no spending controls or a warning instead of a more restrictive default.

Budget Preparation – Budget Roll

General Information

Within CGI Advantage there is the ability to perform budget preparation in two basic forms, or run modes. The first type is the creation of zero-dollar budget lines in a target year matching the same chart of account combinations used on budget lines in a source year. The second type is similar to the first but instead of zero-dollar budget lines in the target year the budget lines will have the same amounts as lines from the prior year.

> *Create Zero Dollar Lines* - The mode is most commonly used with budget lines that are just for tracking without any controls. Revenue budget lines often fall into this category, but so could departmental spending budgets. Another common use for the mode is to create expense budget lines that are to be funded by revenues only with either budget links or on a structure that tracks both revenues and spending.
>
> *Create Non-Zero Dollar Lines* - The second type of budget preparation can also be used for budgets that just track without controls but can also be used on those that control as well. The mode takes a budget amount from the source budget line (e.g. Adopted or Current Budget) and creates a budget line in the target BFY with that same amount. Choosing Adopted gives you budget lines based on last year's Adopted or 'starting' budget amount. Choosing Current Budget gives you budget lines based on the final 'adjusted' budget amount from last year.
>
> This second type is very common when the majority of budget lines do not need to have amounts adjusted. However, it is less risky to create zero dollar line transactions in draft and then set amounts than to create as non-zero.

Nothing prevents amounts from being added to budget lines created from either mode after their initial load as draft transactions (see Advanced Run Scenario: Intercepting Loaded Transactions to Adjust Before Submitting) or adjusting the amounts with new transactions created later.

- Not every budget line can have either of these two types of budget preparation performed by the Budget Roll chain job. Budget lines that do not have a Budget Fiscal Year (BFY) or have a BFY of 9999 are not eligible. The reason is that such lines are not created on a yearly basis.
- When the Budget Roll chain or report is choosing budget lines in the source BFY, the lowest budget level set as required (Presence Optional setting of *False* on the Budget Structure reference page) from the specified budget structure is searched. The Budget Roll Chain and Budget Roll Report are both found in the Budgeting folder but under the Chain Job and Report sub folders (respectively).

> ***Warning:*** *Budget transaction activity by users should be prohibited when running a Budget Roll.*

Required System Pre-Configuration

Security access to run the Budget Roll chain job and report is required for the individual running the process. Access to the Parameters for Budget Roll Process page is also required. The "Advanced Run Scenarios" section contains some optional pre-configuration tasks.

Timing at Year End

As budget lines added by the Budget Roll chain are of the type that do not need legislative approval, the timing issue depends on when the target year lines are needed for use. Subtract from that the time necessary to review the results from a budget roll and any manual corrections, deletions, and additions necessary, and you will have the latest point at which budget lines can be rolled.

The rolled budget lines will have to be loaded before the following year end processes or transactions from them will fail because these do not have the ability to create budget lines. If the budget structure in question does not track activity from any of the following processes, then it is not necessary to roll the budget structure first.

- Open Activity Roll
- Contract Roll
- Certain Manual Accounting Adjustments

Steps to Take Before Process

Default Job Parameters

The job parameters for the Budget Roll chain and report jobs can be automatically pre-filled with system defaults from Job Setup. If appropriate, you can change the default settings for some of the options. For example, choosing values for Checkpoint Block Size and Commit Block Size should be done to match your application configuration for optimum performance.

Chart of Account Setup

All Chart of Account (COA) codes on target year budget transactions must be valid within Advantage Financial. The NYTI process and manual reference data setup cover most of the required codes, but if codes can be defined as part of the budget preparation process, then those will have to be loaded before any transactions.

Budget Transaction Setup

The Automatic Transaction Numbering entry used will be the one for the Target BFY of the budget structure and a department for rolling. The Prefix is not a required parameter but can be used to distinguish transactions rolling from those created from normal processing.

Budget transactions may routinely go through an approval process for changes after the initial load. That initial load should not go through that process. Unless workflow is setup so that these transactions don't meet workflow rules, then the Submit Phase should be set to Final on Transaction Control for the budget transaction code(s) from budget preparation. Furthermore, the budget preparation transactions often have a future fiscal year and accounting period on them while that is usually prohibited. If this is the case, the Future Fiscal Year and Future Accounting Period indication should be selected on Transaction Control.

The loading of budget for a new BFY is one activity that should begin before the actual first day of the FY equal to that BFY. Such activity should be placed in a BFY Stage that starts a month or so before the actual start of a new year. An earlier start is even possible if budgets can be established even earlier. This BFY Stage is often known as the 'Budget Preparation' stage. It may be the only one that exists before the 'Normal Operating' stage starts on the first day of the year.

There can be one stage of 'Procurement Preprocessing' that can exist between the preparation and normal stages to allow a limited amount of procurement activity once budgets are loaded. Please see the "BFY Staging Configuration" sub section under Advanced - Setup in the *Financial Administration User Guide* for much more information on BFY Staging setup and setup strategies.

Parameters for Budget Roll Process

The Budget Roll chain obtains most of the necessary selection and output parameters necessary from the Parameters for Budget Roll Process page. This page allows for a user not familiar with the batch job interface to enter parameters on an online page in a format common to other reference pages. The page also allows for the definition of parameter settings that can be used in subsequent years with only minor modifications: Updating of any value specified for: Source BFY, Target BFY, Transaction Record Date, Source Fiscal Year, Target Fiscal Year, and Source Fiscal Year.

The fields on the parameter page for Transaction Record Date, Source Fiscal Year, Target Fiscal Year, Source Accounting Period, and Target Accounting Period are very useful when the defaults from the Application Date are not desired when a budget roll is performed. Both parameter samples included have values in the Target Fiscal Year and Target Accounting Period because they are intended to represent a budget load that happens before a year starts, thus defaulting current period values would not be desired.

The table below is a sample of parameters for a Budget Roll where $0.00 budget lines are to be created in the target year with fields left blank because not applying or not being used have been omitted. This parameter page is discussed in detail in the Budget Control User Guide.

Field	Setting
Parameter ID	ZBR
Budget Structure	30
Source BFY	2019
Target BFY	2020
Roll Mode	Create Zero Dollar Lines
Target Event Type	BG23
Transaction Code	BGRV
Transaction Dept	010
Transaction Break	All Budget Lines for a Fund on 1 Transaction
Target Fiscal Year	2020
Target Accounting Period	1

The table below is a sample of parameters for a Budget Roll where budget lines are to be created in the target year with an amount equal to the Current Budget in the source year. The Run Mode requires the specification of Source BFY, Target BFY, Target Event Type, Source Bucket (here it is 34, which is the Current Revenue Budget ID), Transaction Code, and Transaction Dept.

Field	Setting
Parameter ID	NZBR
Budget Structure	30
Source BFY	2019
Target BFY	2020
Roll Mode	Create Non-Zero Dollar Lines
Target Event Type	BG23
Transaction Code	BGRV
Transaction Dept	010
Transaction Break	All Budget Lines for a Fund on 1 Transaction
Target Fiscal Year	2020
Target Accounting Period	1

Revenue Lines Before Expense When Using Budget Links

The Create Non-Zero Budget Lines mode allows for the creation of expense budget lines in the target BFY defined to revenue budget lines in the target BFY. For this reason, those revenue budgets linked in the source BFY must be established in the target BFY before expense budget lines can be created with links.

Run Variations

Report Mode

Before running the Budget Roll chain job to create budget lines that have to be deleted if in error, the Budget Roll report goes through the same selection and output determination.

The **Budget Lines Selected for Roll** report displays concatenated keys of the budget lines that have been selected to roll, along with the budget line name. You can view the report to make sure all the budget lines you expected to roll were actually selected. The report mode can also give you an approximate run time when the chain job is run based on prior run volumes.

- The **Budget Lines Not Rolled** report displays concatenated keys of the budget lines that were not selected for rolling, along with the budget line name. This report will display budget lines that you thought would roll but will not because the budget lines already exist in the target BFY. This report does not list those budget lines in the source BFY that were excluded because the flags for Bypass Deactivated Lines or Bypass Unused Lines were selected on the parameter record.
- The **Budget Links Not Rolled** report displays concatenated keys of the budget lines for which linked revenue budget lines were not rolled. Budget lines only appear on this report

if they were linked to a revenue line in the source BFY and there is no target BFY revenue budget line to create a link to from the target BFY spending budget line.

Update Mode

When the Report mode has been verified, the Update mode is next. The same three reports from the Budget Roll report are created by the first job in the Budget Roll chain – Budget Roll. The final job in the chain, Roll Reports, will create two new reports.

- The **Budget Roll Crosswalk of Successful Transactions** report is a listing of successfully generated and submitted transactions. This report is organized by the key fields of the budget line (the Chart of Account values) and shows the Budget Transaction IDs, line numbers, and dollar amounts processed.
- The **Budget Roll Listing of Unsuccessful Transactions -** A listing of generated budget transactions that had errors during submission. The report is indexed by budget Chart of Account codes, then shows the budget transaction ID, line number, and dollar amount.

Verification

Resolving Budget Lines with Errors

As noted in the section on running the Budget Rollover process in Update mode, Advantage creates a listing of unsuccessful submitted transactions. (You can view a sample Budget Roll Listing of Unsuccessful Transactions in the Appendix of this guide.)

After the process completes, you should check the listing, and address any transaction errors, using the following guidelines:

- If there were no errors, the report displays “No Budget Transactions Found”.
- If there are errors, each failed transaction is listed, and you need to investigate and resolve the errors.

Budget Line Verification

After a Budget Rollover, any number of custom budget line reports can be run to verify the creation of all expected budget lines and amounts (if applicable). The Budget Rollover report can even assist with this process with only an update to the Source and Target BFY values for the Run Mode – Report Parameter ID.

Advanced Run Scenarios

Using Chart of Account Crosswalks

In some circumstances, Chart of Account code values change from one year to the next. For example, after a departmental reorganization, budget lines that were associated with Unit *1206* might be changed to Unit *4503*.

When there is a consistent change to one or more Chart of Account values use the COA Crosswalk page to define a Process ID that must be referenced in the parameters of the Budget

Rollover (this applies to both *Report* and *Update* process modes). This page is discussed in detail in the General Accounting User Guide.

> ***Warning:*** *The COA Crosswalk Process ID is specified as a parameter when you run the Budget Rollover process through the Job Manager.*

Rolling Links

When rolling budget lines on an expense structure linked to a revenue structure, the budget lines of the revenue structure must be rolled first. If not all the links will have to be created manually through budget transactions. No special parameters are needed when rolling the revenue budget lines, but when rolling the expense budget lines linked, the Copy Links indication must be selcted for the Parameter ID used.

Rolling Line Level Controls

Line level controls are those where a user has processed a budget transaction to set the severity of one or more controls (constraint or guideline) to a level that is more or less restrictive than all other budget lines that simply inherit the control from Budget Control, Budget Level Control, or Budget Fund Control. When such a line control should be carried forward for the same budget line in the new BFY, then the Copy Line Level Controls indication must be selected for the Parameter ID used. If not, the line control(s) will have to be set manually through budget transactions.

Intercepting Loaded Transactions to Adjust Before Submitting

For Budget Roll Modes 1 and 2, even though the Update mode is presented as one chain, it can be run in two processes. This split is needed so that after the budget lines are created, changes to the line amounts can be entered before the budget transactions are submitted. The delay between the two steps can be as many days as required to update the amounts.

Specifically, the split process is run as follows:

- The first run of the chain includes only Steps 1 and 2. This run generates the budget transactions, and leaves them on the Transaction Catalog in a *Held* or *Ready* Status (depending on the parameter you specify).
- During the time between the runs, you should open the draft Budget Transactions and update the line amounts to match the amounts of the adopted new year budget.
- The second run of the chain includes Steps 3 and 4. This run performs the smart budget rollup, submits the budget transactions, and then produces reports that show successful and unsuccessful transactions.

To only run part of a chain job, you must deactivate the jobs you want to eliminate, using the following steps:

1. Select the Disable Job indication for each job you want to disable.
2. Save
3. Select Schedule New Chain Job

WARNING: *Do not forget to click Save before starting the new chain job. This is a crucial step that is often overlooked.*

It is possible for sites updating budget transactions to rollup and submit the generated budget transactions as they enter the new year amounts. If you submit the budget transactions this way, it is not necessary to run Steps 3 and 4 of the Budget Rollover Chain.

However, it is more efficient to enter only the new line amounts, and then omit the rollup and submit processes. Running Steps 3 and 4 of the chain initiates these process-intensive steps at a time of your choosing (for example, during weekend or night-time hours). The processes produce reports listing successful and rejected transactions.

NOTE: *Run your parameter record through budget roll as Report Only to verify you have established selection criteria accurately to achieve your desired results.*

Rolling Lines from a Presence Optional Budget Level

As the Budget Rollover process only selects budget lines from the lowest required budget level of a structure, there are instances where a lower, presence optional level exists. Lines at this level come from one of two sources: auto generation or through a budget transaction. If the former and the auto generation will continue in the next BFY, then there is no action as the system will create lines as necessary. The second method, budget transaction creation, means that those budget lines at the presence optional level were put there for COA control and possibly budget control. When this is the case, one or more of the selection criteria on PBRP must be able to identify all budget lines at the lowest required level that have these budget lines at the presence optional level. An example would be that one department uses level four (optional level) of structure 80 while all other departments only use down to level three (lowest required level). If those lines are the lowest required level that use the next lower level cannot be identified, then some other means is going to be required to create these optional budget lines.

Specifically, the Budget Rollover process is run as follows when no system activity is being recorded:

- On the Budget Level Update page that is accessible as a link from the Budget Level tab found on the Budget Structure page, the Presence Optional indication must be unselected for that budget level.
- All instances of the application are bounced.
- The first run of the chain uses parameter ID selection criteria, that will only select those records at the lowest required level that are not a parent budget line to any records at the lower level that will be rolled next (e.g. only department 056 uses level 4 of structure 80 then that department should not be selected at this time).
- Verification that the roll has completed and all expected budget lines have been created.
- The Presence Optional indication must be changed to selected from unselected for that budget level.
- All instances of the application are bounced.
- The second run of the chain uses a parameter ID with selection criteria not to select any budget lines not rolled in the previous run.

NOTE: *This process is more complex and should be attempted at least one time in a test copy of production.*

Specific COA Line Selection

Selection criteria for Fund, Department, Appropriation, and Appropriation Types are available to allow a subset of budget lines at a level to be rolled. Such criteria are mandatory in the previous section for rolling a presence optional budget level. If there are entities that use budget lines for only COA control and others that use budget lines for spending control, then these selection criteria can be used to roll those entities that use budget lines for COA control only as zero-dollar budget lines. The other entities can be left to a budget preparation tool for line creation.

The selection criteria require valid values and only allow multiple values through comma-separated lists. Those lists have a finite limit. If it is found that the limit is reached, then multiple runs can be done with multiple parameter ID records. If you specify values, then only those values are selected when this parameter ID runs. If you leave the fields blank, selection will not use the field. Specifying values in multiple fields results in “intersection” logic. For example, if you specify Department 150 and Fund 7600, the process selects only those budget lines for Department 150 and Fund 7600.

Active Budget Line Selection

The Bypass Deactivated Lines indication exists on the Parameters for Budget Roll Process that will enable the process to skip all budget lines in the Source BFY where all the Active indication has been set to false for the budget line by the processing of a budget transaction with the ‘Deactivate’ Action. When this feature is used, time must be allowed for users to process budget transactions and report on the active status of lines in the Source BFY before the roll process is run. When a budget line is created in error during the year, if deleting that budget line is something that is not or cannot be done, then deactivating the line is a must. Simply removing the available budget from that line will not prevent the line from being ‘rolled’ into the next year.

This option is available for the Create Zero Dollar Lines, Create Non-Zero Dollar Lines, and Roll Unused Budget run modes.

Unused Budget Line Omission

The Bypass Unused Lines indication exists on the Parameters for Budget Roll Process that will enable the process to skip all budget lines in the Source BFY where each of the accounting amounts are $0 on a budget line. For budgets that are Budget Type of ‘Spending’ this includes Purchase Reservations, Pre Encumbrances, Encumbrances, Accrued Expenditures, and Cash Expenditures. For Budget Type of ‘Revenue’ the amounts include the Billed and Collected Earned Revenue as well as the Billed and Collected Unearned Revenue.

This option is available for the Create Zero Dollar Lines and Create Non-Zero Dollar Lines run modes.

Post Processing Tasks

After custom budget reports have verified the creation of the necessary budget lines, there may be a number of manual tasks to perform:

- Creation of budget lines in the Target BFY that did not have a corresponding Source BFY line.
- Deletion of budget lines in the Target BFY that are not desired.
- Adjustment of budget line controls for those lines that should have a less or more severe control level than the default.
- Adjustment of any budgetary amounts rolled.
- Completion of descriptive and reporting information.

Budget Maintenance - Roll Unused Budget Authority

General Information

Within Advantage Financial there are three ways to transfer unused budget authority from one year to the next. The most common is the transfer of budget authority to cover rolled encumbrances or even pre-encumbrances with the Open Activity & Budget Roll covered later in this guide. This section will focus on the other two ways.

As with most batch processes that create transactions there is the option of rolling unused budget authority manually. This manual approach can be done in several scenarios:

- The type of budget line is one that is not selected by the batch process, making it an exception that has to be rolled manually.
- The budget line needs all or a portion rolled in advance of all others.

A manual roll need not use the same event types as an automatic one, but if there isn't a reason to use different ones for reporting needs, it is recommended that the budget line in the source year be reduced with the Reversions (BG05) event type and an Increase setting (this amount is subtracted in the calculation for Current Budget which is why an increase will reduce budget in the source BFY) and the budget line in the target year be increased with Carry Forward (BG04).

- The automatic roll is facilitated by what is known as Mode 3 of the Budget Roll chain job or Roll Unused Budget Authority. The Budget Roll chain in Mode 3 will create, load, and submit transactions with the same BG05 and BG04 event types given in the manual information above.

Mode 3 automates the process whereby a budget line defined to the first BFY and then any unused authority on that line can be rolled into the next BFY and so on until the original purpose of the budget lines is completed or authority runs out. For this reason, this mode of the Budget Roll chain can and often creates budget lines in the new year just like the modes discussed in the previous section. The main differences between this mode and the previous two are:

1. It is used exclusively on budget structures that are Budget Type of *Spending* or *Both* whereas Modes 1 and 2 are used primarily on *Revenue* budgets (but not restricted to just those two modes).
2. The selection of budget lines within a structure to roll with Mode 3 is a subset. That subset is most commonly tied to the Appropriation Classification values of *Continuing* or *Multi-Year* but not restricted to those values. For this reason, the Appropriation or Appropriation Type selection criteria are used if selection is not done by Fund.
3. If the target year budget line already exists, mode 3 will update the line as opposed to always creating lines like modes 1 and 2.

- Not every budget structure or budget line can have a mode 3 roll performed by the Budget Roll chain job found in the Chain Jobs sub folder under the Budgeting folder. Budget lines that do not have a Budget Fiscal Year (BFY) or have a BFY of 9999 are not eligible. The reason is that such lines are not created anew on a yearly basis. Other source year lines that are not rolled by this mode are ones that have zero or a negative amount in the budget bucket designated as 'unused'.
- When the Budget Roll chain or report is choosing budget lines in the source BFY the lowest budget level set as required (Presence Optional setting of *False* on the Budget Level Update page) from the specified budget structure is searched.

Warning: *Budget transaction activity by users should be prohibited when running a Budget Roll.*

Required System Pre-Configuration

If mode 3 to roll unspent authority forward by updating the Reversion and Carry Forward amounts, then the formula for Current Budget needs to account for both amounts whether directly in the formula for Current Budget or as part of the Original Budget amount calculated before Current Budget is calculated. If you find that the formula(s) on the Budget Tracking Amount page do not account for both of these amounts, then you will have to do the required steps to make that change. Please see the *Budget Control User Guide* for more information.

Security access to run the Budget Roll chain job and report is required for the individual running the process. Access to the Parameters for Budget Roll Process page is also required. The Advanced Run Scenarios section contains some optional pre-configuration tasks.

Timing at Year End

The earliest mode 3 can be run would be the first day of a new year. To do so earlier would effectively stop any new procurement in the source BFY. Most find that they have to run mode 3 multiple times to account for such things as decrease modifications, cancellations, lapses, short final references, and adjustments made against the prior BFY that increase budget availability there.

Steps to Take Before Process

Default Job Parameters

The job parameters for Budget Roll can be automatically pre-filled with system defaults from Job Setup. If appropriate, you can change the default settings for some of the options. For example, choosing values for Checkpoint Block Size and Commit Block Size should be done to match your application configuration for optimum performance.

Chart of Account Setup

All Chart of Account (COA) codes on target year budget transactions must be valid within Advantage Financial. The NYTI process and manual reference data setup cover most of the required codes, but if codes can be defined as part of the budget preparation process, then those will have to be loaded into Advantage Financial before any transactions.

Budget Transaction Setup

The Automatic Transaction Numbering entry used will be the one for the Target BFY. The Prefix is not a required parameter but can be used to distinguish transactions rolling from those created from normal processing.

Budget transactions may routinely go through an approval process for changes after the initial load. That initial load should not go through that process. Unless workflow is setup so that these transactions don't meet workflow rules, then the Submit Phase should be set to *Final* on Transaction Control for the budget transaction code(s) from budget preparation.

Parameters for Budget Roll Process

The Budget Roll chain obtains most of the necessary selection and output parameters necessary from Parameters for Budget Roll Process. This page allows for a user not familiar with the batch job interface to enter parameters on an online page in a format common to other reference pages. The page also allows for the definition of parameter settings that can be used in subsequent years with only minor modifications: Updating of any value specified for: Source BFY, Target BFY, Transaction Record Date, Source Fiscal Year, Target Fiscal Year, and Source Fiscal Year.

The fields on the PBRP page for Transaction Record Date, Source Fiscal Year, Target Fiscal Year, Source Accounting Period, and Target Accounting Period are very useful when the defaults from the Application Date are not desired when a budget roll is performed. Keep in mind two different BFY values are being used and most want to keep the FY = BFY so you will likely have a past FY and Period on the source BFY line, assuming you run mode 3 on the first day of the new year.

The table below is a sample of parameters for a Budget Roll mode 3 with fields left blank because not applying or not being used have been omitted. This parameter page is discussed in detail in the Budget Control User Guide.

Field	Setting
Parameter ID	RUB
Budget Structure	31
Source BFY	2019
Target BFY	2020
Roll Mode	Roll Unused Budget
Source Event Type	BG05
Target Event Type	BG04
Transaction Code	BGAA
Transaction Dept	010
Transaction Break	All Budget Lines for a Fund on 1 Transaction
Source Fiscal Year	2019
Target Fiscal Year	2020
Source Accounting Period	13
Target Accounting Period	1

Chart of Accounts Crosswalking

One of the Advanced Run Scenarios covered in a later section is the use of the COA Crosswalk page to transform one or more COA codes from a source year budget line to a target year budget line. Population of data has to exist on the page for that scenario. Please see the later Advanced Run Scenarios section for more details on setting up crosswalking.

Run Variations

Report Mode

Before running the Budget Roll chain job to roll unused budget, the Budget Roll report found in the Reports - Budget sub folder under the Budgeting folder goes through the same selection and output determination.

- The **Budget Lines Selected for Roll** report displays concatenated keys of the budget lines that have been selected to roll, along with the budget line name. You can view the report to make sure all the budget lines you expected to roll were actually selected. The report mode can also give you an approximate run time when the chain job is run based on prior run volumes.
- The **Budget Lines Not Rolled** report displays concatenated keys of the budget lines that were not selected for rolling, along with the budget line name. This report does not list those budget lines in the source BFY that were excluded because the flags for Bypass Deactivated Lines or Bypass Unused Lines were selected.
- The **Budget Links Not Rolled** report is created but will never contain data because it does not apply to this mode.

Update Mode

When the Report mode has been verified, the Update mode is next. The same three reports from the Budget Roll report are created by the first job in the Budget Roll chain – Budget Roll. The final job in the chain, Roll Reports, will create two new reports.

- The **Budget Roll Crosswalk of Successful Transactions** report is a listing of successfully generated and submitted transactions. This report is organized by the key fields of the budget line (the Chart of Account values) and shows the Budget Transaction IDs, line numbers, and dollar amounts processed.
- The **Budget Roll Listing of Unsuccessful Transactions -** A listing of generated budget transactions that had errors during submission. The report is indexed by budget Chart of Account codes, then shows the budget transaction ID, line number, and dollar amount.

Verification

Resolving Budget Lines with Errors

As noted in the section on running the Budget Rollover process in Update mode, Advantage creates a listing of unsuccessful submitted transactions. (You can view a sample Budget Roll Listing of Unsuccessful Transactions in the Appendix of this guide.)

After the process completes, you should check the listing, and address any transaction errors, using the following guidelines:

- If there were no errors, the report displays “No Budget Transactions Found”.
- If there are errors, each failed transaction is listed, and you need to investigate and resolve the errors.

Budget Line Verification

After a Budget Rollover, any number of custom budget line reports can be run to verify that there is not any budget availability in the source BFY.

Advanced Run Scenarios

Using Chart of Account Crosswalks

In some circumstances, Chart of Account code values change from one year to the next. For example, after a departmental reorganization, budget lines that were associated with Unit *1206* might be changed to Unit *4503*.

When there is a consistent change to one or more Chart of Account values use the COA Crosswalk page to define a Process ID that must be referenced in the parameters of the Budget Rollover (this applies to both *Report* and *Update* process modes). This page is discussed in detail in the General Accounting User Guide.

> ***Warning:*** *The COA Crosswalk Process ID is specified as a parameter when you run the Budget Rollover process through the Job Manager.*

Post Processing Tasks

After custom budget reports have verified the rolling of unused budget forward, creating lines as necessary and updating others in the target year, there may be a number of manual tasks to perform:

- Adjustment of budget line controls for those lines that should have a less or more severe control level than the default.
- Adjustment of any budgetary amounts rolled.
- Completion of descriptive and reporting information on lines created in the target budget year.

Addressing Open Items

As the end of a year approaches through the first part of the next year there are open transactions along with account balances that need to be addressed because they should not be included in the Annual Close process. Not every implementation desires these balances be removed, so this section would not apply to such a site. However, if your site does not wish to have certain open activity in the prior year, then one or more of the following processes will be used.

NOTE: *Many CGI Advantage sites run the Open Activity processes in a Test environment with a copy of production data. This is a good practice because it will identify which transactions or table settings will cause errors. If you correct the problems ahead of time in your production database, your Roll and Lapse processing will take less time and be much less disruptive.*

WARNING: *The Open Activity processes use the posting code's Expense (or Revenue) Budget Bucket ID to select accounting lines that are pre-encumbrance and encumbrance activity. If your site has defined a posting code that is either of those types without associated budget updates, you will need to use the Other Items selection criteria for rolling or lapsing.*

Open Activity Lapse

General Information

Lapsing open activity is the term given to removing account balances through a manual modification, cancellation, or zero-dollar final reference to an open transaction or accounting line. Lapsing can also be done by system-generated lapsing transactions that liquidate the open activity with a reference. Manual lapsing can be done on any type of transaction. Automatic lapsing is restricted to the following:

- Requisitions (RQ transaction type) that are non-accounting, pre-encumbering, or even encumbering if that type of accounting is allowed.
- Purchase Orders (PO transaction type) that are non-accounting or encumbering.
- Travel Authorizations (TRAUTH transaction subtype within the TRVL transaction type) that are non-accounting or encumbering.
- Accounting-Based Spending (ABS transaction type) that are non-accounting, pre-encumbering, or encumbering.
- Receivables (RE transaction type) that perform any type of accounting. An alternative is the Accounts Receivable Write Off process for lapsing such open balances as they age by number of days instead of by BFY.

Required System Pre-Configuration

Security access to run the Open Activity Lapse chain job and report is required for the individual running the process. Access to the Parameters for Lapse Process page is also required. The Advanced Run Scenarios section contains some optional pre-configuration tasks.

Timing at Year End

When lapsing of open activity starts varies with each implementation and within an implementation there can even be different times for lapsing different types of open activity. Many sites will lapse open pre-encumbrances and non-accounting requisitions before a year ends to clean up that activity early. Others will also lapse open encumbrances after all those that should be rolled have done so. Those lapsed either didn't have the necessary authority to roll forward (e.g. type of purchase) or were below a minimum amount rolled.

With any lapse there should be BFY Staging restrictions in place to prevent users from creating new activity after it has been lapsed. If not, subsequent lapses will be necessary.

Steps to Take Before Process

Default Job Parameters

The job parameters for the Open Activity Lapse chain and the Open Activity Report job can be automatically pre-filled with system defaults from Job Setup. If appropriate, you can change the default settings for some of the options. For example, choosing values for Checkpoint Block Size and Commit Block Size should be done to match your application configuration for optimum performance.

Pending Transactions

The Lapse processes will not select any transactions where the latest version of the transaction is in the Pending Transaction Phase. Because of this, there should be a concerted effort to get all the transactions in workflow approved or rejected before running the Lapse process. With adequate BFY Stating setup in place, any pending transaction approved after the lapse will reject and not create new activity in a year that has been lapsed.

Lapse Transaction Codes Setup

The Automatic Transaction Numbering entries used will be the ones for the FY equal to the BFY where activity is being lapsed. Transaction codes used for lapsing (e.g. the delivered ones are the WO, ABDL and CBDL).

Transaction Control settings for the lapsing transactions should be established so the lapsing transactions process without errors from that page. The Submit Phase should be *Final* as these transactions should not have any workflow rules. The Inactive COA Codes Allowed indication should be *selected*.

Parameters for Lapse Process

The Open Activity Lapse chain obtains most of the necessary selection and output parameters necessary from the Parameters for Lapse Process page. This page allows for a user not familiar with the batch job interface to enter parameters on an online page in a format common to other reference pages. The page also allows for the definition of parameter settings that can be used in subsequent years with only minor modifications: Updating of any value specified for: Closing BFY, Transaction Record Date, and Fiscal Year.

The fields for Transaction Record Date, Fiscal Year and Accounting Period are very useful when the defaults from the Application Date are not desired when a lapse is performed. Keep in mind that a lapse done in an FY > than the Closing BFY will require you to complete the Fiscal Year and Accounting Period fields to FY = BFY. Many choose to lapse in Accounting Period 13 so those account decreases can be separated from normal decreases from normal transaction activity.

The table below is a sample of parameters for a Budget Roll where $0.00 budget lines are to be created in the target year with fields left blank because not applying or not being used have been omitted. This parameter page is discussed in detail in the Budget Control User Guide.

Field	Setting
Parameter ID	LPE
Closing BFY	2019
Run Mode	Update
Event Type Selection Criteria	PR01, PR02, PR03
Transaction Codes	RQS, RQM, RQN, IRQ, GAP
Fiscal Year	2019
Accounting Period	13

Transaction Code for Commodity Spending Transactions	CBDL
Transaction Code for Non-Commodity Spending Transactions	ABDL
Transaction Code for Revenue Transactions	WO
Spending Transaction Lapse Event Type	GA02
Transaction Dept	010
Pre Encumbrance Lapse Threshold	$999,999,999.00
Pre Encumbrance Lapse Threshold – Transaction/Line	Transaction

Run Variations

Report Mode

Before running the Open Activity Lapse chain job, the Open Actv Lapse report found in the Reports - GA sub folder under the General Accounting folder goes through the same selection and output determination. This report job does require that the Run Mode is set to *Report Only*.

The Open Lines to Be Lapsed report displays all accounting lines that match the selection criteria. You can view the report to make sure all the open activity you expected to lapse was selected. The report mode can also give you an approximate run time when the chain job is run based on prior run volumes.

Pre-Selection Mode

When selection needs to be at a level below that available on the Parameters for Lapse Process page, you should run the Open Activity Lapse chain job found in the Chain Jobs sub folder under the General Accounting folder; the Run Mode is set to *Pre-Selection*. When running in this mode you should disable all the jobs in the chain after the first job.

The Open Lines to Be Lapsed report displays all accounting lines that match the selection criteria. You can view the report to make sure all the open activity you expected to load to the pre-selection pages was selected.

Update Mode

When the Report mode has been verified or the pre-selection is done, the Update mode is next. This job does require that the Run Mode is set to *Update*. If selecting from the Roll Lapse Pre-Selection Detail page, be sure to set the USE_PRETABLE parameter is set to *1 – Use Pre-*

Selection table. If not using the pre-selection data, be sure that parameter is set to *2 – Do not use Pre-Selection* or you will not have any records selected.

The Open Lines to Be Lapsed report displays all accounting lines that match the selection criteria.

Verification

Verification of Open Activity Selection

There are many ways to research what open activity is out there to lapse. Many use custom open item reports. As mentioned earlier, there is an Open Activity Lapse report that will use the same selection logic as the Open Activity Lapse chain job.

Verification of Lapse

The same reports used in the verification of open activity selection can be used after a lapse to determine if all activity was lapsed. If the Open Activity Lapse report is used for this verification, then any activity not lapsed is the result of one or more lapsing transactions failing to submit to final. That list of transactions can be found in the Lapse Transaction Detailed Exception Report created from the final job in the chain. Alternatively a search of the Transaction Catalog for the lapsing transaction code(s) and a Transaction Phase of *Draft* can be done. If using a custom open activity report is used for the verification, it is either failed lapsing transactions or a difference in the selection method of the custom report and the lapse chain.

Advanced Run Scenarios

Thresholds

Optional settings for each type of open activity can enable the selection of only accounting lines or transactions that not are 'too big' to lapse. The amount that is 'too big' is entered in the respective Threshold field for a type of open activity. Comparison is done then on an equal to or less than basis. The field defaults to $0.00 so be sure to enter a very large amount (e.g. $999,999,999.99) if all open activity should be lapsed.

Comparison to this amount can be done at the transaction or at the line level. Although comparison to the transaction is the most common, the choice of line can be used with the Accounting Based Spending transaction type. Using the line choice for open Requisitions and Purchase Order transaction types is not recommended as it can result in a subset of accounting lines under a commodity line to be closed without any updates to the commodity line.

This feature is most often used for open encumbrances where a site desires not to roll small amounts forward as such transactions are often not being referenced and have been forgotten about.

Fund Overrides

Settings on the Fund reference page can be used to override those lapse parameters where allowed. Multiple lapses can always be performed with different rules using the Fund Selection Criteria field; however, the size of that field is limited. If there is the need to perform a lapse differently for a small number of funds, then that small number of funds can be entered in the Fund Selection field. If there is a situation where half the Funds work one way and the other half

works differently, then the Fund Selection Criteria field will not be big enough and the Fund Overrides should be used along with appropriate setup on the Fund reference page.

Department Options

The Open Activity Option by Department page, discussed in detail in the General Accounting User Guide, allows for multiple departments to make the lapse, roll, or no action decisions differently than system-wide settings for lapsing. A department option could be a permanent situation or it could be used to allow that department more time to address open items.

This page is read after running the Open Activity Lapse process in *Pre-Selection* mode by running the Open Activity Options by Department batch job found in the Batch Jobs sub folder of the General Accounting folder. When pre-selecting, records must be loaded as *Not Approved* (e.g. the LOAD_DATA batch parameter has to be 2 – Load all records with the approval indication unchecked). If loaded as *Approved*, the Open Activity Options by Department batch job will not update any *Approved* records.

No Recent Activity Lapse

The Open Activity Lapse chain contains a Date of Last Activity (DT_LAST_ACTV) parameter that allows for lapsing open activity that has become stale: no modifications or references against it for a defined period. This date batch parameter is optional, but when entered the program will add the following to selection criteria: select open accounting lines where the last update is before the batch parameter value. In addition to being used before rolling open, regular BFY activity; this parameter can be used to lapse stale BFY 9999 activity. This is the only time BFY 9999 should be used on a Lapse Parameter.

Refreshing Roll Lapse Pre-Selection Data

When addressing open activity, it does not have to be a one-time event as incremental runs for different funds or departments are allowed. The Roll Lapse Pre-Selection pages can be ‘refreshed’ throughout the process. The Purge Data batch parameter allows for this refresh when set to a value of 3. In this case the program in Pre-Select mode will do one of the following:

- Add any new open transactions and lines found
- Update the amounts of an existing records to reflect the current status (e.g. a line lapsed will now have a $0.00 open amount
- Remove any records if they were closed by normal transaction activity (e.g. a final reference)
- Clear the Selected Date value if the lapse failed to close the accounting line

Post Processing Tasks

There are not any tasks unless your site temporarily takes away those transaction codes used to record the activity just lapsed from users with security settings. If so, then the only post processing task would be to restore that security setting when you wish to start processing new transactions. Please note that using BFY Staging can eliminate this step by making the act of recording new or increasing existing activity being lapsed in the prior BFY after a set ‘cut off’ date. Only decreases would be allowed after the cut off.

Open Activity Roll without Budget and with Budget

General Information

Rolling open accounting activity starts with a modification to the open transaction whereby the application increments the BFY value on the open accounting lines. For some that is the extent of a roll. For others that is just the first half in that the system will continue on to roll an amount of budget from the source to the target BFY to cover the rolled accounting activity. This way budget lines in the source BFY do not obtain spending authority and in the target BFY lines do not loose authority. A mixture of these two methods is also possible when different funds or appropriations should be treated differently.

Where manual lapsing is easy, manual rolling is not because online edits prevent users from changing the BFY on an accounting line. Manual rolls require the user to modify down the open line, copy it to create a new line in the new BFY, and then set that Line Amount on that new BFY line to equal what was open on the prior BFY line before being modified down.

Just as automatic lapsing has restrictions for what can lapse, rolling has the following restrictions:

- Requisitions (RQ transaction type) that are non-accounting, pre-encumbering, or even encumbering if that type of accounting is allowed.
- Stock Requisitions (RQS transaction type) that are non-accounting, pre-encumbering, or even encumbering if that type of accounting is allowed.
- Purchase Orders (PO transaction type) that are non-accounting or encumbering.
- Travel Authorizations (TRAUTH transaction subtype within the TRVL transaction type) that are non-accounting or encumbering.
- Accounting-Based Spending (ABS transaction type) that are non-accounting, pre-encumbering, or encumbering.
- Receivables (RE transaction type) that perform any type of accounting. Rolling here should not change the Fiscal Year but only the Budget Fiscal Year, given appropriate parameters. These accounts need to remain in the original Fiscal Year for accounting reports. It is uncommon to roll budget with this type of accounting activity. If using the delivered event type AR30 (or a custom copy) on a receivable, that cannot be rolled as it is an accrued expenditure.
- Accrued Receivables (ARE transaction type) that perform any type of accounting. Although possible, most use the Accounts Receivable Write Off process for lapsing such open balances as they age by number of days instead of by BFY. Rolling here should not change the Fiscal Year but only the Budget Fiscal Year, given appropriate parameters. These accounts need to remain in the original Fiscal Year for accounting reports. It is uncommon to roll budget with this type of accounting activity.

As activity recorded to BFY 9999 is not rolled and not likely lapsed except for items with no activity or for minimal amounts, a later process known as the Pre-Annual Close Sweep can be used to move BFY 9999 activity from one fiscal year to the next so it is not there when Annual Close is run.

Required System Pre-Configuration

If rolling budgets is part of rolling pre-encumbrance or encumbrance activity, the Reversion and Carry Forward budget amounts are updated. The formula for Current Budget needs to account for both amounts whether directly in the formula for Current Budget or as part of the Original Budget amount calculated before Current Budget is calculated. If you find that the formula(s) on the Budget Tracking Amount reference page do not account for both of these amounts, then you will have to do the required steps to make that change. Please see the *Budget Control User Guide* for more information.

Security access to run the Open Roll chain, Open Activity & Budget Roll chain, and the Open Activity Roll report is required for the individual running the process (only one of the two chains will be used). Access to the Parameters for Roll Process page is also required. The Advanced Run Scenarios section contains some optional pre-configuration tasks.

Timing at Year End

When the rolling of open activity starts varies with each implementation and within an implementation there can even be different times for rolling different types of open activity. Many sites will roll open encumbrances and non-accounting lines either on the first day of the new year or a couple of weeks into the new year. The reason for waiting is to allow a window of time for the accrual of expenditures as part of the payment request referencing the order if goods or services were received prior to the end of the year. Waiting does mean that new receipts after the start of the new year must wait to be paid as the BFY of the encumbrance is still in the prior year. Use of the Accounts Payable Period functionality defined on BFY Staging will allow the entering of payments in the new BFY/FY against open encumbrances in the prior BFY/FY where the liquidation posts to the prior BFY/FY and the accrued expenditure posts to the new BFY/FY by default. Users can override that last posting and make it back into the prior BFY/FY when the accrual should go there.

With any roll there should be BFY Staging restrictions in place to prevent users from creating new activity in the prior BFY after it has been rolled out. If not, subsequent rolls will be necessary.

Steps to Take Before Process

Default Job Parameters

The job parameters for the Open Activity Roll chain, Open Activity & Budget Roll chain, and the Open Activity Report job can be automatically pre-filled with system defaults from Job Setup. If appropriate, you can change the default settings for some of the options. For example, choosing values for Checkpoint Block Size and Commit Block Size should be done to match your application configuration for optimum performance.

Application Parameters

Several Application Parameters are used by both roll chains and there are few just used when rolling budgets along with open activity.

- BACKOUT_FY and BACKOUT_APD: these values are used on the posting line reducing open amounts in the source BFY. The APD is usually 12 or 13 and does not change. The FY has to be changed each year to match the BFY rolling from in order to have BFY = FY. Both chains use these two parameters

- OABR_RUNNING and OABR_SRC_BFY: these values are used when only rolling budget with open activity. The RUNNING one requires a system bounce to be registered. The SRC_BFY has to be changed each year to equal the Source BFY value on the Parameters for Roll Process ID being used.

Warning: *Remember to set the RUNNING parameter back to False when rolling is done followed by a system bounce. To forget is to allow the system to continue to suppress all budget errors!*

Pending Transactions

The Roll processes will not select any transactions where the latest version of the transaction is in the Pending Transaction Phase. Because of this there should be a concerted effort to get all the transactions in workflow approved or rejected before running the Roll process. With adequate BFY Stating setup in place, any pending transaction approved after the roll will reject and not create new activity in a year that has been rolled.

The Open Activity Roll report job has the ability to report all transactions with the current version in *Pending* that match selection rules. The CREATE_PEND_TEXT_FILE parameter when set to 1 will generate a text file of such transactions. The file can be used to locate an address all such transactions or can be transformed and used as input to a System Maintenance Utility job to reject all transactions from *Pending* to *Draft.* Those versions will become *Conflict Drafts* after the role where any change being recorded on them can be reviewed and reapplied to the current version rolled, if necessary.

Rolled Transaction Codes Setup

Transaction Control settings for the rolling transaction codes should be established so the rolling transactions process without errors from that page. There are many fields for consideration that are documented in the run sheets of each chain.

Adjustment Reason

If rolling open receivable activity, an adjustment reason has to be established on the Adjustment Reason page. If not using AR Dept and AR Unit (e.g. ALL if the value used for both) then only 1 adjustment reason record is required. If using specific AR Dept and Unit values, then multiple records have to be setup.

Parameters for Roll Process

The Open Activity Roll chains obtain most of the necessary selection and output parameters necessary from the Parameters for Roll Process page. This page allows for a user not familiar with the batch job interface to enter parameters on an online page in a format common to other reference pages. The page also allows for the definition of parameter settings that can be used in subsequent years with only minor modifications: Updating of any value specified for: Closing BFY, Transaction Record Date, Modification Fiscal Year, and Modification Accounting Period.

The Modification Fiscal Year field is critical. Keep in mind that a roll is updating two different BFY values. When rolling non-revenue activity, the Application Parameter for BACKOUT_FY should equal the Closing BFY on the Roll Parameter ID. The Modification Fiscal Year should be one greater if rolling before the end of the year. When rolling revenue activity, the Modification Fiscal

Year and Accounting Period should equal the BACKOUT values so that there is a net of zero on a Fiscal Year basis and only a BFY change.

The table below is a sample of parameters for an Open Activity Roll with fields left blank because not applying or not being used have been omitted. The Parameters for Roll page is discussed in detail in the General Accounting User Guide.

Field	Setting
Parameter ID	RUP
Closing BFY	2019
Run Mode	Update
Event Type Selection Criteria	PR05, PR06
Modification Fiscal Year	2020
Roll or Accrual Processing	Roll
Encumbrance Roll Minimum	$0.00
Encumbrance Roll Minimum Transaction/Line	Line

Parameters for Budget Roll

The Open Activity & Budget Roll process requires an additional page to be setup to perform the Budget Roll piece. This is not a necessary step for the Open Activity Roll process. In order to roll budget authority to cover rolled accounting activity, a record on the Parameters for Budget Roll page must be setup and specified as input to the Open Activity & Budget Roll chain in the Budget Roll job step (8th job in the chain). This page allows for a user not familiar with the batch job interface to enter parameters on an online page in a format common to other reference pages. The page also allows for the definition of parameter settings that can be used in subsequent years with only minor modifications to the Target BFY and any of the following if specified: Transaction Record Date, Source Fiscal Year, and Target Fiscal Year.

The selection criteria fields are not used when the Roll Mode is *Work with Open Activity Roll* as the system is tracking all budget lines and amounts to roll forward from the open accounting lines selected from the roll criteria.

The table below is a sample of parameters for a Budget Roll mode 3 with fields left blank because not applying or not being used have been omitted. This parameter page is discussed in detail in the Budget Control User Guide.

Field	Setting
Parameter ID	OABR
Budget Structure	80
Target BFY	2020
Roll Mode	Work with Open Activity Roll

Source Event Type	BG05
Target Event Type	BG04
Transaction Code	APEB
Transaction Dept	010
Transaction Break	All Budget Lines for a Fund on 1 Transaction
Source Fiscal Year	2019
Target Fiscal Year	2020
Source Accounting Period	13
Target Accounting Period	1

Run Variations

Report Mode

Before running the Open Activity Roll chain jobs, the Open Actv Roll report found in the Reports - GA sub folder under the General Accounting folder goes through the same selection and output determination. This report job does require that the Run Mode is set to *Report Only*.

The Open Lines to Be Rolled report displays all accounting lines that match the selection criteria. You can view the report to make sure all the open activity you expected to roll was selected. The report mode can also give you an approximate run time when the chain job is run based on prior run volumes.

Pre-Selection Mode

When selection needs to be at a level below that available on the Parameters for Roll Process page, you should run the Open Activity Roll chain job found in the Chain Jobs sub folder under the General Accounting folder; the Run Mode is set to *Pre-Selection*. When running in this mode you should disable all the jobs in the chain after the first job.

The Open Lines to Be Rolled report displays all accounting lines that match the selection criteria. You can view the report to make sure all the open activity you expected to load to the pre-selection pages was selected.

Update Mode

When the Report mode has been verified or the pre-selection is done, the Update mode is next. This job does require that the Run Mode is set to *Update*. If selecting from the Roll Lapse Pre-Selection Detail page, be sure to set the USE_PRETABLE parameter is set to *1 – Use Pre-Selection table*. If not using the pre-selection data, be sure that parameter is set to *2 – Do not use Pre-Selection* or you will not have any records selected.

The Open Lines to Be Rolled report displays all accounting lines that match the selection criteria.

Verification

Verification of Open Activity Selection

There are many ways to research what open activity is out there to roll. Many use custom open item reports. As mentioned earlier, there is an Open Activity Roll report that will use the same selection logic as the Open Activity roll chain jobs.

Verification of Roll

The same reports used in the verification of open activity selection can be used after a roll to determine if all activity was rolled. If the Open Activity Roll report is used for this verification, then any activity not rolled is the result of one or more roll modification transactions failing to submit to final. That list of transactions can be found in the Exception Reports created from the round 1 or 2 in the chain. If using a custom open activity report is used for the verification, it is either failed roll modification transactions or a difference in the selection method of the custom report and the roll chain.

Advanced Run Scenarios

Using Chart of Account Crosswalks

In some circumstances, Chart of Account code values change from one year to the next. For example, after a departmental reorganization, budget lines that were associated with Unit code *1206* might be changed to Unit *4503*.

When there is a consistent change to one or more Chart of Account values use the CGI Advantage COA Crosswalk page to define a Process ID that must be referenced in the parameters of the Open Activity Roll chains. This page is discussed in detail in the General Accounting User Guide.

> ***Warning:*** *The COA Crosswalk Process ID is specified as a parameter when you run the Open Activity or the Open Activity & Budget Roll process through the Job Manager.*

Minimums

Optional settings for each type of open activity can enable the selection of only accounting lines or transactions that that are considered ‘large enough’ to roll. The amount that is ‘big enough’ is entered in the respective Roll Minimum field for a type of open activity. Comparison is done then on an equal to or greater than basis. The field defaults to $0.00 so all activity will be rolled. Be sure to enter a value if there is a minimum.

Comparison to this amount can be done at the transaction or at the line level. Although comparison to the transaction is the most common, the choice of line can be used. Rolling a subset of accounting lines on a commodity-based transaction is allowed if the remainder will be rolled at a later date. If the desire is to lapse the remainder, that will setup a commodity line that is open for an amount that is not the open sum of children accounting lines. For this reason, using the minimum at the line level is not recommended for the Requisition, Purchase Order, and Stock Requisition transaction types.

Fund Overrides

Settings on the Fund reference page can be used to override those roll parameters where allowed. Multiple rolls can always be performed with different rules using the Fund Selection Criteria field; however, the size of that field is limited. If there is the need to perform a roll differently for a small number of funds, then that small number of funds can be entered in the Fund Selection field. If there is a situation where half the Funds work one way and the other half works differently, then the Fund Selection Criteria field will not be big enough and the Fund Overrides should be used along with appropriate setup on the Fund reference page.

Department Options

The Open Activity Option by Department page, discussed in detail in the General Accounting User Guide, allows for multiple departments to make the lapse, roll, or no action decisions differently than system-wide settings for rolling. A department option could be a permanent situation or it could be used to allow that department more time to address open items.

This page is read after running the Open Activity Lapse process in *Pre-Selection* mode by running the Open Activity Options by Department batch job found in the Batch Jobs sub folder of the General Accounting folder. When pre-selecting, records must be loaded as *Not Approved* (e.g. the LOAD_DATA batch parameter has to be 2 – Load all records with the approval indication unchecked). If loaded as *Approved*, the Open Activity Options by Department batch job will not update any *Approved* records.

Refreshing Roll Lapse Pre-Selection Data

When addressing open activity is not a one-time event because of incremental runs for different funds or departments, the Roll Lapse Pre-Selection pages can be 'refreshed' throughout the process. The Purge Data batch parameter allows for this refresh when set to a value of 3. In this case, the program in *Pre-Selection* mode will do one of the following:

- Add any new open transactions and lines found
- Update the amounts of an existing record to reflect the current status
- Remove any records if they were closed by normal transaction activity (e.g. a final reference)
- Clear the Selected Date value if the roll modification failed to roll the accounting line

Accruing Open Activity

The Open Activity Roll chain provides one feature that the Open Activity & Budget Roll chain does not – roll an open encumbrance into an accrued expenditure because it is known that the goods or services have been received but not yet invoiced for payment. Using this feature certainly requires the use of the Roll Lapse Pre-Selection pages. When that open order is identified, the Action field should be set to Accrue for all accounting lines or all accounting lines within a commodity line. This feature should only be used if the entire amount of items or services remaining has been received. If partial, then a transaction like the journal voucher will be required to book the accrual. The Parameters for Roll Process entry for this advanced scenario should have the delivered AC04 event type (or a custom one that is similar).

The Open Activity Roll chain will not change the BFY on an accounting line to be accrued. Instead the program will reduce the Line Amount to equal the Closed Amount, copy the

accounting line, create a new accounting line in that same BFY with a Line Amount equal to the amount the original line was reduced, put the Accrual Event Type on this new line, and populate the Related Accounting Line fields of each to tie the two lines together for reporting purposes.

Post Processing Tasks

None

Multi-Year Contract Maintenance

Agreements with vendors frequently extend beyond the current budget fiscal year. Recording information for all years is an essential part of the procurement function. There are different ways to maintain procurement contracts that span multiple years.

1. Enter the full amount of the contract into the current year and to let what is remaining at the end of the year to roll forward (or continue to be referenced in subsequent years of you do not roll). With this method is hard to control users from ordering all of the goods or services in the first year without some strict procurement management practices.
2. Enter only the portion of a contract that is for the current year. Then when the subsequent year starts, then increase that contract for the next year's portion. This method requires some sort of external tracking system and manual interactions to track what amounts should be added to a contract when a new year starts.
3. Enter the full amount of the contract, but enter separate accounting lines for each budget year the contract will span. The line for the current year will perform an encumbrance with an event type such as PR05. The remaining accounting lines will have an event type such as PR08, a future BFY, and the current FY on them. With this model, there is a batch program provided that will perform yearly maintenance.

Contract Roll

General Information

The Contract Roll chain performs one or more of the following actions on accounting lines considered 'out year' lines – ones for future BFY values with a non-accounting event type such as PR08. The accounting lines for the current BFY are not impacted by the Contract Roll chain job but are likely already or soon to be updated by one of the Open Activity Roll chain jobs.

1. Increment the Fiscal Year on all out year lines
2. Set the Reserved Funding field from *Yes* to *No*
3. Change the non-accounting Event Type to an accounting one

This process commonly works on transaction codes in both the Purchase Order (Award) and Accounting Based Spending transaction types that are multi-year contracts. Although it may seem that this chain should be in the Procurement folder of the Batch Catalog because it deals with contracts, it is instead in the General Accounting folder and Chain Jobs sub folder because of the strict accounting nature of the chain.

Required System Pre-Configuration

Some sites choose to establish transaction codes unique for multi-year contracts for security, workflow, and system edits. This is not a requirement and a single transaction code can be a regular contract in one instance and a multi-year one in another instance.

> ***Warning:*** *The application will not allow the changing of event types if the non-accounting one produced a posting line. For this reason the delivered PR01, PR04, and PR07 event types* ***cannot*** *be used on these out-year accounting lines. Event types like PR08, PR09, and PR10 must be used.*

Security access to run the Contract Roll chain is required for the individual running the process (only one of the two chains will be used).

Timing at Year End

Although the Contract Roll process can be run more than once, performing one or more of the three actions listed under General Information, most run the process only once: when budgets for the new fiscal year are established. Some choose to run the Fiscal Year increment just after the New Year Table Initialization process has added COA for the new year and all manual updates to the new year data are done. This allows for users to start working on adjusting accounting line COA values before the final Contract Roll makes the accounting line an encumbering one. If the process is run after the start of the new year, the option to change the Fiscal Year does not need to be taken because that will happen naturally if the Fiscal Year parameter is left blank.

Steps to Take Before Process

Default Job Parameters

The job parameters for the Contract Roll chain can be automatically pre-filled with system defaults from Job Setup. If appropriate, you can change the default settings for some of the options. For example, choosing values for Checkpoint Block Size and Commit Block Size should be done to match your application configuration for optimum performance.

Transaction Control

As contract transactions often have many workflow rules for approvals, it is recommended that the Submit Phase on the Transaction Control page be set to Final when running the Contract Roll process. This will avoid a large workload for approvals that is not likely needed. There is also a Bypass Approvals batch parameter that can be used to do the same thing during processing.

Run Variations

Discarding Modification Drafts

The Contract Roll chain has a fourth job step that will automatically discard all rejected draft modifications from the Transaction Catalog. If users are to be allowed the ability to manually correct failed modifications, then this job step should be disabled.

> ***WARNING:*** *Don't forget to click Save after disabling a job step. This is a crucial step that is often overlooked.*

Different Types of Contracts Rolled At Different Times

The first job in the chain has an optional Transaction Code parameter, that when left blank results in the selection of all transaction codes with the Non-Accounting Event Type parameter(s). If necessary, the process can roll a certain type of contract first (e.g. personal services) before other types. Such a situation does require configuration and procedures in place to enter certain types of contracts on specific transaction codes.

Requisitions

The Contract Roll process is thought primarily as acting on the Purchase Order transaction type and possibly the encumbering transaction code of the Accounting Based Spending transaction type. However, the process will also act upon transaction codes in the Requisition transaction type and the pre-encumbering transaction code of the Accounting Based Spending transaction type.

If multi-year requisitions / pre-encumbrances are entered the process of rolling them would be the same as orders/encumbrances except with a different Accounting Event Type parameter value such as PR02 – Request from External Vendor. In an application where partial referencing is allowed between multi-year requisition and award transactions for future Budget Fiscal Year lines, when the Contract Roll Chain is run to change event types, the referencing transactions should be rolled before the referenced transactions.

Verification

Verification uses the Contract Roll Failed Transaction Report produced from the third job step in the chain. All transactions that failed to process to Final are listed in this report. Those transactions should have their errors resolved and submitted manually (if not a high volume) or with the System Maintenance Utility (if there is a high volume that resulted from a system setting so that each transaction does not have to be changed).

Another report produced by the chain for verification is the Contract Roll Successful Transaction Report. This report will list all rolled transactions and should be compared against the list of anticipated transactions.

Advanced Run Scenarios

Pre-Processing Orders and Requisitions

Many sites start to limit the ability to create new requisitions and orders against the current BFY when the next BFY is about to start (e.g. June when July starts a new year). The Contract Roll can be used in this situation to allow the entry of non-accounting requisitions, and possibly orders, against the coming BFY to start the procurement process. When that new BFY starts, the Contract Roll process would then be used to switch the non-accounting event types to accounting ones to tie up budget authority first before other transaction processing is allowed.

Chart of Account Updates

As multi-year contracts are entered with chart of account (COA) values validated against the Fiscal Year in which the contract was created, there will be situations with re-organizations and other COA changes where accounting lines will need to be updated with correct COA values. In such a situation the fourth job in the chain should have been disabled so users can open the rejected drafts and make the necessary changes. An alternative would be to go ahead and discard those drafts and allow users to use the Contract Roll Failed Transaction Report to locate and correct those transactions with invalid COA.

Post Processing Tasks

None

Prior Year Accounting Wrap Up

Certain tasks performed at year end only update accounting data in the year to be closed without any impact to the next year. (A later section for 'Adjusting Between Current and Prior Year' accounts for activities that update both years.) Many tasks for Prior Year Accounting Wrap Up are manual transaction processing to include, but are not limited to, entering activity that has been lagging:

- Fixed asset acquisitions, transfers, manual depreciation, disposals, and sales
- Pre-paid asset adjustments
- Accruing revenue earned but not yet billed
- Entering liabilities not tracked in detail but in summary fashion (e.g. leave liability)
- Bad Debt Allowance/Expense calculations and adjustments

In addition to these manual tasks, there can be batch programs as well. The one delivered in baseline is Depreciation.

Manual Accounting Adjustments

Those adjustments that are manual will not be covered, as each site has different procedures and methods for researching, calculating, and booking these items, mainly with journal vouchers.

Depreciation

General Information

The Fixed Assets Depreciation process lets you perform mass depreciation on the depreciable fixed assets in your organization. You must license the CGI Advantage Fixed Asset module to use this feature. You can depreciate your assets at any time; some sites perform this task quarterly, or even monthly. However, even if you've been performing the process at regular intervals during the year, depreciation is part of your year-end procedures.

In the Reports – FA sub folder under the Fixed Assets folder there is the Mass Depreciation job, which is a batch process that computes depreciation for each asset component. If in update mode, that depreciation is also recorded through the Mass Depreciation transaction. The Mass Depreciation transaction is unusual in that it is not a transaction that can be accessed online like other fixed asset transactions. After a depreciation run there are only posting lines created and processed.

Asset components that have a **Depreciation Method** of *Manual*, *Modified*, or *Not Applicable* are not included in the process. Mass Depreciation only selects assets with a method of *Straight Line*.

> You can record depreciation for assets of the method *Manual* by using the Fixed Asset Depreciation Expense transaction. Please refer to the "Record Depreciation" common business task in the *CGI Advantage - Fixed Assets User Guide* for detailed instructions.
>
> Assets using the *Modified* method of depreciation (in accordance with GASB 34) may require the entry of a Fixed Asset Modification transaction to record "Estimated" and "Actual" infrastructure maintenance costs. Please refer to the "FA Transaction Type" section in the *CGI Advantage - Fixed Assets User Guide f*or detailed instructions regarding the FM transaction.

Required System Pre-Configuration

Posting Code

Setup for the posting code for Depreciation Expense (F020) should be reviewed before any fixed asset transaction processing for expense budget updates. If the expense for depreciation should be tracked on spending budgets, then the Expense Budget indication should be checked on the Posting Code page and the Expense Bucket ID set to *15*. If not, the indication should be unchecked and the Expense Bucket ID field cleared.

> ***Warning:*** *If depreciation activity was recorded so that budgets were updated, do not just change the posting code record. There will have to be budget synchronization steps that have to be reported to avoid System Assurance 1 issues.*

Fixed Asset Area Setup

The Fixed Assets area of Advantage Financial contains many pages for setup before users start to enter fixed asset activity. Settings on these pages are inferred to fixed asset transactions and recorded on the Fixed Asset Registry series of pages. Depreciation uses data on these registry pages so it is imperative to get the fixed asset setup pages correct before transaction processing. If incorrect before transaction processing, it will lead to a large transaction processing effort to modify the registry information. An example would be a Fixed Asset Catalog entry that had an incorrect Useful Life or Deprecation Method.

Running Mass Depreciation in report mode (See later Run Variations section) and reviewing the report created is essential for the first depreciation. It is also a recommended practice on subsequent depreciations to review any new fixed asset setup. Please refer to the CGI *Advantage - Fixed Assets User Guide* for details on depreciation or other events discussed in this section.

Timing at Year End

Depreciation is not dependent upon any other year end process. The main determinate is that all the items listed in the following section have been completed.

Steps to Take Before Process

Default Job Parameters

The job parameters for Mass Depreciation can be automatically pre-filled with system defaults from Job Setup. If appropriate, you can change the default settings for some of the options. One example where you will want to make a change is to ensure the Depreciation End Date parameter is set to the last day in your fiscal year (06/30/2009, 09/30/3009, or 12/31/2009 depending) so that all one has to do is change the year going forward. However, if you run more frequently then this does not apply.

Record New Assets

Whether with the FA Shell Generation program in place or not, there is always some amount of fixed asset acquisition and betterment activity to process for a year before depreciation can be run. If you have new assets, you must create the Fixed Asset Acquisition transactions in the system to post the acquisitions before running the depreciation process.

Record Asset Disposals

If you have disposed of assets, you must create the Fixed Asset Disposition entries in the system to post the disposals before running the depreciation process. If disposal information is not updated prior to depreciation, then subsequent disposal transactions will adjust depreciation, but it will not be posted to the year being closed.

Record Asset Value Changes

If any asset's valuation has changed, make the appropriate entries before running the depreciation process. Depending on the circumstances, enter a Fixed Asset Increase/Decrease or a Fixed Asset Acquisition transaction with a Betterment (FA02) event type.

Transferring Assets

Sometimes assets are reassigned to a different part of your organization (another location or responsibility center). To move the transferred assets to the new codes, you must change the responsibility center of the asset. You can perform this task for a group of assets by using the Fixed Asset Reorganization Process or for an individual asset by entering a single Fixed Asset Transfer.

In the Chain Jobs sub folder under Fixed Asset, the Chain Reorganization process exists to modify the location-related data (such as Location, Sub Location, or Complex Building) or the responsibility center data (such as Department or Unit) of multiple assets. The output of the FARO process is a series of Fixed Asset Transfer transactions.

If there is reorganization with the new year, it may also be necessary to transfer assets after the new year is initiated. In that case, you should run the job after the end-of-year mass depreciation process is complete. That ensures the depreciation charges are made to the appropriate structures for the year being depreciated. The new organizational structure of assets (which starts in the new fiscal year) will be depreciated appropriately in the future.

Record Depreciation Setting Changes

If any asset's depreciation information has changed, make the appropriate entries before running the depreciation process. A Fixed Asset Modification has to be entered to change any of the following: Acquisition Date, In Service Date, Useful Life, Salvage Value, Depreciation Structure, or Depreciation Method.

After all information for a fiscal year has been entered, it is time to run the Mass Depreciation process in report mode to review impending results. Any mistakes found should be corrected with any one of the transactions mentioned earlier.

Run Variations

You can run Mass Depreciation job in report or update mode (the latter also produces a report – Fixed Asset Depreciation Report - in addition to generating journal postings). The Job Parameters field for this option is labeled Mode Indicator. There is no default selection, so you must select (1) Report or (2) Update.

Report Mode

Report mode generates a report that lists the depreciation to be applied to each asset involved in the job. The report is sorted by Department and Fixed Asset Type with totals by asset and asset type. The depreciation is calculated and the results are displayed, but no postings are made to the accounting system.

If the job ran successfully and the report shows the appropriate and correct postings, you can run the job in Update mode to write the postings to the journal.

Update Mode

Update mode runs all of the expected procedures involved in depreciating assets. The process calculates the depreciation, generates posting lines to update the appropriate journals, and updates the Fixed Asset Registry with the new depreciation and net book value amounts along with last depreciation dates for each asset.

The output of the Mass Depreciation job is a set of Fixed Assets Depreciation Expense transactions. To conserve space, these transactions do not post to the Transaction Catalog, but they do post to the Journals (Accounting, Fixed Asset Accounting, Fixed Asset Component, and others depending on posting code setup).

Verification

When in report mode, the report is the only point of verification. See the Appendix for a sample pages from the Fixed Asset Depreciation Report.

With update mode, verification can then be done from reports that read the Fixed Asset Registry pages. Alternatively, once the Ledger Engine has posted the updates from Mass Depreciation, the Fixed Asset Balance Summary or Fixed Asset Component Summary pages can be used or a report that reads the Fixed Asset ledger.

Advanced Run Scenarios

Parameters Dividing Depreciation into Multiple Processes

If you record depreciation at different times for different types of assets, or if you have many assets to depreciate, you can divide the process into a number of smaller jobs. This shortens the run time of the process and also makes it easier (and faster) to find and correct any problems you encounter. You can divide the process by entering values in any of the following parameters:

- Fixed Asset Type
- Fixed Asset Group
- Individual Fixed Asset Number

Alternatively, there is an input file for depreciation that can contain any number of selection criteria for selection. The run sheet for the process contains details on the formatting of this file.

> ***Warning:*** *If you divide depreciation into multiple runs please verify that all of the assets are depreciated. One way to accomplish this is to run depreciation for all assets in Report Only mode with the Mass Depreciation End Date parameter set to the last day of the year that closed. Since the process will not select assets again, totals for the report should be null.*

Post Processing Tasks

None

Periodic Debt Accounting

General Information

The Debt Management area has a Periodic Debt Accounting chain that performs various tasks:

1. Accrual of expenditures and revenues for the portion of a debt schedule detail that spans the end of a period (year, quarter, and even month).
2. Amortization of debt issuance or assumption costs.
3. Residual value adjustments for leases.

Of these tasks, the accrual and amortization have the biggest year end impact. Many can amortize costs more frequently or choose to accrue on a more frequent basis than yearly; however, yearly is the most common for both for reporting reasons.

Required System Pre-Configuration

All debt instruments must be defined to a Debt Type. Debt Type is where the accrual and amortization event types used by the Periodic Debt Accounting process are defined. Amortization transactions will only impact the prior year. Accrual transactions will impact both the prior year where costs or revenues are accrued and the current year where those accruals are reversed. Optionally, accruals can be done monthly or quarterly if desired.

Timing at Year End

The Periodic Debt Accounting process is designed to run at any time a site needs. When running for amortizations, that run can occur as early as the last day of the last month of a year. The run can occur later as well, but the output date parameters have to be used to ensure the amortization is properly recorded in the prior year and not the current year. If it is found that a new debt instrument was entered into the prior year with an amortization record in that year, the Periodic Debt Accounting chain can be run again without fear of duplicate processing because transactions generated update the Processed On date field on amortization schedule detail records.

The run for accruals will not likely occur until all debt instrument data entry has occurred in the prior year that should be recorded in that year. If run and then it is found that new debt instruments have been entered into the prior year, the Periodic Debt Accounting chain can be run again as the transactions generated from the process update each debt instrument with the last accrual fiscal year and month. Any new debt instruments will not have a value for that Last Accrual field.

Steps to Take Before Process

Attempt to ensure the majority of prior year debt instruments have been entered and processed by the Initial Debt Accounting process.

Default Job Parameters

The job parameters for the Periodic Debt Accounting chain can be automatically pre-filled with system defaults from Job Setup. If appropriate, you can change the default settings for some of

the options. For example, choosing values for Checkpoint Block Size and Commit Block Size should be done to match your application configuration for optimum performance. Other parameters will require you to establish set defaults on Job Setup or enter them each year: Transaction Department and Transaction Prefixes.

Run Variations

The chain has a Major Type of Debt parameter that allows for processing just one type: loans, leases, or bonds. The parameter also has a value for all three at one time, given that a site uses all three. There is another parameter that determines if the chain does accruals or will do amortizations and residual value adjustments. This parameter does not have a choice of ‘all’. So if both are to occur, the chain has to be run twice, with different values.

Verification

There are two reports produced from the chain. There is a bypassed records report and an exception report. Any transactions listed on the exception report should be corrected. Corrections to these transactions may also require a debt modification transaction to change registry settings so future transactions will not fail to process.

The bypassed records report should be reviewed to verify records skipped were those originally defined to behave that way. Please see the run sheet for more details on this report.

Advanced Run Scenarios

None

Post Processing Tasks

None

Adjusting Between Current & Prior Year

Certain tasks performed at year end update accounting data in the year to be closed and in the next year. Many tasks for Adjusting Between Current & Prior Year are manual transaction processing to include, but are not limited to, entering the following activity:

- Expenditure accruals
- Revenue accruals
- Long Term Debt conversion to Short Term
- Long Term Receivable conversion to Short Term
- Adjustments for Modified and Full Accrual Reporting

Those that are manual will not be covered as each site has different procedures and methods for researching, calculating, and booking these items, mainly with journal vouchers.

In addition to these manual tasks, there are batch programs as well. The following are delivered in baseline:

- Clearing Account Maintenance
- Pre Annual Close Sweep
- Automatic Accrual Process
- Automatic Accrual Clearing Process
- Long Term Account Reclassification

Manual Accounting Adjustments

Those adjustments that are manual will not be covered as each site has different procedures and methods for researching, calculating, and booking these items, mainly with journal vouchers.

Clearing Account Maintenance

When rules require that cash not be updated for internal accounting events recorded in a new fiscal year against the prior budget fiscal year, a second set of event types is used to offset internal cash expenditures and internal collected revenues with due to and due from accounts instead of cash. These event types are very different than those which use due to and due from accounts with accrued expenditures and accrued revenues. Those accrued accounts are used when two funds or sub funds do not use the same bank. As any internal transaction between the two requires a transfer of cash between banks, the due to and due from accounts are used to trigger that transfer manually or through a custom process. The accrued expenditure and revenue accounts must also be cleared along with the due to and from accounts on a journal voucher in this case. Some sites have chosen to avoid this situation by using the Automated Bank Account Transfer process

General Information

The Clearing Account Maintenance process reads in parameters established on the Clearing Account Maintenance Parameters page for selection and output. Activity in a defined input journal is then matched to selection criteria for clearing. That matching has to be based on a Due To and Due From posting code and optionally to balance sheets and sub balance sheets. The Internal Journal is the recommended input journal because it contains only those journal records where the Internal Fund field was populated manually (e.g. Journal Voucher) or automatically (e.g. Internal Exchange Transaction, Internal Transaction Agreement, Internal Matching Payment Request, etc.).

Required System Pre-Configuration

Allowed Event Types for Transaction Code

For those that choose not to use the Clearing Account Maintenance process, all event types that have ‘Clearing Act Maint’ in the name are often removed from the Allowed Event Types for Transaction Code page so users will not inadvertently select them.

BFY Staging

Budget Fiscal Year Stating plays an integral part in the enforcement of the clearing account event types instead of the ones offset with cash that are used when the fiscal year equals the budget fiscal year. For all stages that start after the last day of the fiscal year, all the internal (two-party accounting) transactions need to be restricted to event types delivered for this clearing process. For example, if the Internal Exchange Transaction can do event types IN01, IN03, IN04, and IN06 throughout the year, then when a new year starts, only event types IN07, IN03, IN08, and IN06 should be allowed.

Multiple Clearing Accounts

For those sites that choose to use the Clearing Account Maintenance functionality and the other clearing event types (e.g. IN02 and IN07), unless the special Clearing Account Maintenance event types are the only ones used in adjustment accounting periods like 13 (and not the regular event types with the accrued expenditure and revenue accounts), then will have to setup custom Due To and Due From posting codes and put them in place of the A002 and A003 ones delivered in one of the two sets of event types. This is necessary so that the Clearing Account Maintenance

functionality does not select those event types that use accrued accounts. The reason is that there is no clearing of accrued expenditure and revenue accounts with cash expenditure and revenue accounts as part of the Clearing Account Maintenance functionality.

Timing at Year End

The Clearing Account Maintenance process is run after the last BFY Stage where internal activity is allowed against the prior BFY.

Steps to Take Before Process

Default Job Parameters

The job parameters for the Clearing Account Maintenance chain can be automatically pre-filled with system defaults from Job Setup. If appropriate, you can change the default settings for some of the options. For example, choosing values for Checkpoint Block Size and Commit Block Size should be done to match your application configuration for optimum performance.

Pending Transactions

As the process uses a specified journal as input, the first pre-processing step is to get pending internal transactions against the prior year through or out of workflow.

Journal Is Up To Date

As the process uses a specified journal as input, pre-processing steps should include getting all posting lines for accepted transactions to the Accounting Journal. It is not likely that activity being cleared would use Asynchronous Journal Posting (Transaction Control option), but if so then the Journal Posting Initiator and Journal Engine batch jobs should be run.

Input Journal Assurances

As the input source is a journal, it is recommended that System Assurance 3 be run for the input journal before running the Clearing Account Maintenance process.

Clearing Account Maintenance Parameters

The Clearing Account Maintenance chain obtains most of the necessary selection and output parameters necessary from the Clearing Account Maintenance Parameters page. This page allows for a user not familiar with the batch job interface to enter parameters on an online page in a format common to other reference pages. The page also allows for the definition of parameter settings that can be used in subsequent years with only minor modifications: Updating of any value specified for: Selection FY, Transaction Date, Budget Fiscal Year, Fiscal Year, and Period.

The table below is a sample of parameters with fields left blank because not applying or not being used have been omitted. This parameter page is discussed in detail in the Financial Administration User Guide.

Field	Setting
Parameter ID	1
Run Mode	Update
Output Mode	Summary
Input Journal	5
Journal Name	Internal Journal
Due To Posting Code	A002
Due From Posting Code	A003
Cash Posting Code	A002
JV Transaction Code	JVCAM
JV Transaction Department	010
Keep Department for Summary Mode	No

Run Variations

Report Mode

Before running the complete Clearing Account Maintenance chain job, the chain can be run with only the first job step enabled to generate the Assurance/Detail Report. This mode is strongly recommended in the first year the process is run or any subsequent year if any accounting model changes have been introduced.

Clearing Different Due To & From Accounts

When the need exists to clear different clearing accounts separately (i.e. the regular due to and from instead of the fixed asset due to and from), then multiple Clearing Account Maintenance Parameter records are required.

Clearing in Detail or Summary

The clearing process has a choice of performing clearings in summary or at the individual accounting line level. The summary is the quicker of the two methods by far, but the detail method updates the Transaction Reference Queries with reference information that ties the clearing to the original transaction for research and reporting purposes.

Verification

Verification of Selection Criteria

There are many ways to research what activity is out there to clear. Many use a custom balance sheet report. Online ledgers as well as inquiries such as Fiscal Year Balance Sheet Detail can also be used. The total from the Assurance/Detail Report should match the selected means of research to verify selection criteria.

Verification of Clearing

The chosen method if clearing activity identification is then used again afterwards to see that totals are now zero. Remember if using a ledger that the Ledger Engine is run after the clearing.

Verification of Generated Clearing Reports

In addition to the Assurance/Detail report there are the following reports produced for verification purposes:

- Transaction Exception Report – A listing of all generated journal vouchers created that failed to submit to final.
- Journal Record Exception Report – A listing of due to or due from journal records where a pair was not found for a given accounting line. Such a result is likely from faulty selection logic or from Journal Voucher activity that has to be cleared manually.
- Bank Summary Report – A listing of total amounts by Bank, Fund, Sub Fund, BSA, and Sub BSA that can be used to create any wire transfers necessary if a clearing was between Funds that used different banks.

Advanced Run Scenarios

None

Post Processing Tasks

None

Pre-Annual Close Sweep

The Open Activity Roll and Lapse processes remove most of the accounting activity in a fiscal year before Annual Close. However, there will still be activity recorded in that fiscal year that will be closed into Fund Balance, Retained Earnings, or Agency Due unless moved out to the next fiscal year. That activity is all the open balances recorded to BFY 9999. The Pre-Annual Close Sweep process is provided to sweep that activity out of one fiscal year to the next. This process is an optional one as some desire to report with that activity closing out like expenditures, while others account for it in their reporting. The Pre-Annual Close Sweep process is found in the General Accounting folder under the Chain Jobs sub folder.

General Information

The Pre Annual Close Sweep chain reads a specified input ledger (e.g. LDGR_FYDAD) for accounting activity in a prior fiscal year which should be swept out of that year and into the subsequent fiscal year before an Annual Close is performed against the prior year. To perform that sweep, the chain creates journal voucher transactions.

Common activity swept out of a fiscal year includes:

1. Open amounts for procurement transactions which cannot be rolled or lapsed because they are multi-year (i.e. BFY 9999).
2. Balances remaining in the prior year from modifications, cancellations, or liquidations to procurement transactions where the fiscal year was greater than the budget fiscal year.

For the activity swept, the process provides input parameters for posting codes used in both years instead of the posting codes found in the prior year. To use the same posting codes for pre encumbrance or encumbrance activity require that enough chart of account (COA) detail is in the input ledger so the entries can make the required budget updates. This budget concern does not apply to BFY 9999 activity as that would wash in terms of budget updates by the sweep. As it is not a concern for BFY 9999 activity, the input ledger can be one that is very summarized such as LDGR_FYDAD. If COA detail is required for budget updates or for reporting, then a ledger such as LDGR_SA_BUD should be used. Unnecessary detail should not be supplied as it adds to processing time and the journal voucher volume.

Budget Fiscal Year (BFY) does not have to exist on the input ledger as selection is not performed against that value. If only BFY 9999 activity should be selected the selection parameter for Fund or Fund Type should be used to select only BFY 9999 activity should it exist in the prior year along with regular BFY activity. The intermingling is not likely as Open Activity Roll and Lapse processes should have removed the regular BFY activity (see Timing at Year End section below). The program does not copy any BFY available on the ledger to the journal vouchers as BFY is not necessary for Annual Close purposes. If BFY 9999 should be recorded on the lines in the subsequent year, then the input ledger should have enough COA detail to trigger the BFY 9999 inference from one of these or similar inference page: BFY Inference, Appropriation and BFY Inference, and Appropriation and BFY Inference 2.

Required System Pre-Configuration

None

Timing at Year End

The sweep can be performed more than once if required. The running of the sweep process should follow the running of one or more of the following processes: Open Activity Roll, Open Activity & Budget Roll, Open Activity Accrual, or Open Activity Lapse. After these processes, the

only activity left in the year will be that which needs to be swept or will be closed as part of Annual Close. It is not an absolute that the sweep follows all of the above, but running it before all of the jobs are run requires input parameters of either Fund or Fund Type that use BFY 9999 exclusively. The only one of these processes that procedurally must come before the sweep is the Open Activity Lapse program if run against BFY 9999 for inactive items.

Steps to Take Before Process

Default Job Parameters

The job parameters for the Pre-Annual Close Sweep chain can be automatically pre-filled with system defaults from Job Setup. If appropriate, you can change the default settings for some of the options. For example, choosing values for Checkpoint Block Size and Commit Block Size should be done to match your application configuration for optimum performance.

Balancing Setup

When the process finds that all the accounting lines for a FY, Fund, and Sub Fund will not fit onto a single transaction and a subsequent transaction is created, the process will have to insert a balancing line on both transactions. A batch parameter exists for the posting code on that line. A204 – Annual Close Offset is the one delivered. That posting code requires a liability balance sheet account as delivered and the process looks to the Annual Close Offset field on the Miscellaneous tab of the Special Accounts page.

Pending Transactions

As the process uses a specified ledger as input, the first pre-processing step is to get pending transactions against the prior year through or out of workflow.

Ledger Is Up To Date

As the process uses a specified ledger as input, pre-processing steps should include getting all posting lines for accepted transactions to the Accounting Journal. It is not likely that activity being swept would use Asynchronous Journal Posting (Transaction Control option), but if so then the Journal Posting Initiator and Journal Engine batch jobs should be run. Whether or not those two jobs were run, the Ledger Engine should be run to make the input ledger as current as possible. If the input ledger is not made current, remember the process can be run again if necessary. When running the Ledger Engine, be sure to run it in *Normal*, *Failed Work*, and *Gap* modes.

Input Ledger Assurances

As the input source is a ledger, it is recommended that System Assurance 3 and 7 be run for the input ledger before running the Pre-Annual Close Sweep process.

Run Variations

There is no report mode for this process.

Verification

Reports such as a Trial Balance can be used to capture before and after sweep activity. Online ledger pages such as the Accounting Ledger – FY can be used to capture before and after sweep activity. If using a ledger for verification, be sure to run the Ledger Engine after the sweep. The process does produce an exception report, the Pre-Annual Close Sweep Exception Report, listing any transactions that failed to submit.

Advanced Run Scenarios

Separating Pre Encumbrance & Encumbrance Sweeps

If there is the desire or need (because of timing issues perhaps) to sweep pre encumbrances separate from encumbrances, then one of the two selection posting code parameters has to have a 'dummy' posting code entered so that the program will not select any activity of that type. Putting a budget posting code such as B001 is one way of doing that, as it will not exist in any accounting ledger.

Post Processing Tasks

None

Automatic Accrual & Clearing Processes

There are two processes covered in this section, as one cannot be used unless the other is also used. Both rely on a considerable amount of system configuration in Procurement, Accounts Payable and General Accounting, which will not be covered here in this Year-End Manual as it is assumed all setup was put in place before transaction processing began.

General Information

The Automatic Accrual process reads through the Accounting Journal for accrued expenditures processed on Accounting Based Spending and Payment Request transaction types where the BFY is 9999 or equal to the current BFY. If such a record contains a Service From and Service To date range that extended partially or fully into the prior Fiscal Year, then an Automatic Accrual transaction is created to move the portion of that date range that was in the prior Fiscal Year out of the current Fiscal Year (FY) and Budget Fiscal Year (BFY) back into the prior FY and BFY. That transaction will also memo reference the accrued expenditure accounting line.

The Automatic Accrual Clearing Process also reads the Accounting Journal but for the Automatic Disbursement, Manual Disbursement, Internal Exchange Transaction, and Internal Transaction Agreement transaction types where the BFY is 9999 or equal to the current BFY. If such a record contains a Service From and Service To date range that extended partially or fully into the prior Fiscal Year, then an Automatic Accrual Clearing transaction is created to move the portion of that date range that was in the prior Fiscal Year out of the current Budget Fiscal Year (BFY) back into the prior BFY. The previous accrual entries are also reversed. The transaction will also memo reference the cash expenditure accounting line.

Required System Pre-Configuration

Please see the *General Accounting User Guide* as the setup is extensive and has to be in place before transaction processing starts.

Timing at Year End

The Automatic Accrual Process starts on the first day of the new FY and continues until the end of the accounts payable period where prior year orders are still be referenced and have not yet rolled. The Automatic Clearing Process runs all year, although the frequency may be reduced after the accounts payable period is over.

Steps to Take Before Process

Please see the *General Accounting User Guide* as the setup is extensive and has to be in place before transaction processing starts.

Default Job Parameters

The job parameters for either Automatic Accrual chain can be automatically pre-filled with system defaults from Job Setup. If appropriate, you can change the default settings for some of the options. For example, choosing values for Checkpoint Block Size and Commit Block Size should be done to match your application configuration for optimum performance.

Run Variations

None

Verification

There is an exception report produced from both chain jobs, listing the transactions that failed to submit: Automated Accrual Exception Report and the Automated Clearing Exception Report. The Automated Accrual Clearing chain also produces a report of selected cash expenditures where the associated accrued expenditure transaction currently has a Prior Year Accrual Percentage of zero. That is either because it was not selected for accrual (put in after the cutoff date for the accrual chain) or the Automatic Accrual originally created was cancelled or modified to zero. This report is the Missing Automated Accrual Transactions listing, of which the data is also written to the Accrual Clearing Management page for online reference.

Advanced Run Scenarios

The Automated Accrual Process has an option for running in a limited capacity after the end of the Accounts Payable Period. When the Accounts Payable Period End Date batch parameter is specified, the program will only select accrued expenditure modifications and cancellations that were previously accrued. No other types of accrued expenditures will be selected after that date. If the accrued expenditure being modified or cancelled was never accrued or that accrual was cancelled, then that expenditure will not be selected in this advanced run scenario.

Post Processing Tasks

For any accruals or clearings that should not have taken place or had incorrect service dates, there is the Accrual Disallowance transaction for adjustments. A user has only to copy forward the Automatic Accrual Clearing transaction or create the disallowance from the Accrual Inquiry page.

Update New Year Accounts

Certain tasks performed at the start of a new year establish accounts for the new year and reclassify accounts in that new year. Many tasks for updating new year accounts are manual transaction processing to include, but are not limited to, entering the following activity:

- Enter estimated bad debt expense and allowance for bad debt
- Reclassification of long term accounts to current accounts

Those that are manual will not be covered as each site has different procedures and methods for researching, calculating, and booking these items, mainly with journal vouchers.

In addition to these manual tasks, there is a batch program as well in the Debt Management area. The following is delivered in baseline:

- Long Term Account Reclassification

Long Term Account Reclassification

Debt Management provides the ability to initially record an amount due (to or from) in the original year of the bond, loan, or lease. With such balances and the subsequent running of the Long Term Account Reclassification chain, reporting the distinction between current and long term is made easy. Without the automatic accounting, reporting on the difference would require reading individual payment schedules.

General Information

The Long Term Account Reclassification process reads through the Debt Registry data for those debt instruments using automated accounting that have payments or billings that will occur in the current year. The process then creates either a Debt Accounting or Internal Debt Accounting transaction to move that portion due in the current year from the long term accounts originally recorded by the Initial Debt Accounting process over to the current accounts.

It is not necessary that a different balance sheet account is used because there are separate posting codes for current and long term payables and receivables. However, setup on the Posting Code page for these posting codes may point to different balance sheet accounts.

Required System Pre-Configuration

All debt instruments must be defined to a Debt Type. Debt Types is where the Initial Accounting – Current Year and a Long Term Event Types are defined. Transactions created by this process will use those two event types, with the Long Term one being associated with a negative line amount and the Current Year one with a positive line amount.

Timing at Year End

The Long Term Account Reclassification process is designed to run on or after the first day of a new year, as it takes the Application Date to determine the current fiscal year. As data entry for debt instruments may lag a few days, the reclassification is not likely on the first day of a new year. If run and then it is found that new debt instruments have been entered into the prior year, the reclassification can be run again as the transactions generated from the process update each debt instrument with the last fiscal year reclassified and any new debt instruments will not have a value for that Last Reclassification Year.

Steps to Take Before Process

Attempt to ensure the majority of prior year debt instruments have been entered and processed by the Initial Debt Accounting process.

Default Job Parameters

The job parameters for the Long Term Account Reclassification chain can be automatically pre-filled with system defaults from Job Setup. If appropriate, you can change the default settings for some of the options. For example, choosing values for Checkpoint Block Size and Commit Block Size should be done to match your application configuration for optimum performance. Other parameters will require you to establish set defaults on Job Setup or enter them each year: Transaction Department and Transaction Prefixes.

Run Variations

The chain has a Major Type of Debt parameter that allows for reclassification for just one type: loans, leases, or bonds. The parameter also has a value for all three at one time, given that a site uses all three.

Verification

There are two reports produced from the chain. There is a bypassed records report and an exception report. Any transactions listed on the exception report should be corrected and processed to final as all payments or billings will be done out of current accounts and not the long term accounts. Corrections to these transactions may also require a debt modification transaction to change registry settings so future transactions will not fail to process.

The bypassed records report should be reviewed to verify records skipped were those originally defined to behave that way. Please see the run sheet for more details on this report.

Advanced Run Scenarios

None

Post Processing Tasks

None

Final Year End Activities

When all activity against a fiscal year has completed, it is time for the final year end activities. While there will be manual activities and reporting activities, this section will focus on only those batch processes involved with final year end activities.

Annual Close

General Information

In the Chain Jobs sub folder under the General Accounting folder there is the Annual Close Chain. The primary purpose of the Annual Close chain is to facilitate the closing of nominal accounts and rolling forward of real accounts from an accounting fiscal year that is being closed to the subsequent accounting fiscal year. Nominal account balances (for example, cash expenditures, accrued expenditures, collected revenue and billed revenue) are closed to fund balance, retained earnings or agency due to accounts as specified by fund in the Close Into Account field on the Fund page. The first three jobs in the chain perform this accounting. The fourth verifies all transactions have submitted and closes accounting periods and a year.

A journal voucher is used to record all annual closing entries. A separate transaction is created for each combination of Fund, Sub Fund, Fiscal Year, and Accounting Period. These values are written to the header of each transaction for quick identification. On these vouchers, CGI Advantage uses two special adjustment accounting periods to capture the movement of account balances from the old fiscal year to the new fiscal year. Period 99 as the last period of the old fiscal year where all accounts are closed out. Period 0 as the first period of the new fiscal year where all balance sheet balances are rolled forward.

These special fiscal periods allow the system to segregate the transaction activity involved in the annual close. Balances in the normal accounts remain in the old year for reporting, in the accounting period in which they originated. Any report that needs to show the end-of-year balance sheet account balances would need to exclude period “99” or use posting codes. Either would prevent selection of records from annual close that are for closing out balance sheet accounts. However, a report that includes all periods (including “99”) would show the balance sheet accounts balanced to zero.

Required System Pre-Configuration

Input Ledger

An important decision for the Annual Close is choosing the level of summarization for closing entries. The level of Chart of Account (COA) detail an annual close uses is determined by the summarization options for input ledger to the process. The default ledger, the Full Detail Accounting Ledger (LDGR_FYDAD), or other input ledgers should have only those COA attributes required to record opening balances in the new year. The most common level of detail required is Fiscal Year, Posting Code, Fund, and BSA. If either or both Sub Fund or Sub BSA is used at your site, then that level of COA information should be retained in the input ledger. If closings should be done at a Department level, then that COA value can be a summarization option on the input ledger. More COA detail in the ledger means more closing entries as the number of input ledger records will increase.

Before you use a highly summarized input, carefully consider the reporting requirements on opening balances. Does your site perform balance sheet reporting by other Chart of Account attributes? If you do not include these Chart of Account codes on the input ledger, they will not be available for reporting from the new year activity in the journal.

NOTE: *If you include more detail codes, more time is required for the run.*

Accounting Period Limitation by Transaction Code

As the Annual Close Journal Vouchers should be the only ones that update accounting periods 0 and 99, the application should be configured with the Transaction Control setting for Time Restriction Severity should be set to Reject with the Time Restriction field set to Limit by Accounting Periods. With these two settings in place, all transaction codes used should exist on the Allowed Accounting Periods for Transaction Code page with just the accounting periods each should hit. The Annual Close Journal Voucher should have just two entries: 0 and 99. Most other transactions should either have 1 - 12 or 1 - 13. This setup will prevent any user from entering an accounting period of 0 or 99 on a transaction code.

Timing at Year End

The Accounting Annual Close is the final year end accounting activity. Only those processes in the Yearly Information section can occur after a close because those have no financial impact.

When does the close have to take place? Well that is a decision most often made by laws, policies, procedures, or plans. The application can go on processing in the subsequent year without having to have the prior year closed. If a close is delayed, it is recommended that the Closed indication (sometimes referred to as the soft close indication) on the FY page be checked for that year to prevent activity until such time as a close is desired or the final adjusting entries are determined and made.

Steps to Take Before Process

Default Job Parameters

The job parameters for the Annual Close chain can be automatically pre-filled with system defaults from Job Setup. If appropriate, you can change the default settings for some of the options. For example, choosing values for Checkpoint Block Size and Commit Block Size should be done to match your application configuration for optimum performance.

Annual Close Journal Voucher Setup

The Automatic Transaction Numbering entry used will be the one for the current FY, not the year being closed. Setup a numbering scheme for the department of your choosing with a Prefix, as this is a required batch parameter.

Number of Accounting Lines field on the General tab of System Options should be set with an even number equaling a number that will allow most, if not all funds, to fit on a single transaction. The number cannot exceed any MAX_LINE_LIMIT record for JV_DOC_ACTG on the Transaction Component Requirements page. Running Annual Close in report mode and counting the number of rows for an FY, Fund, and Sub Fund combination will provide accurate information on the maximum number of lines which the process ‘could’ put on a transaction.

On Transaction Control the Annual Close Journal Voucher should have the Inactive COA Codes Allowed indication checked to prevent the closing of an account that may no longer be active for normal processing. The Cash Balancing setting should be set to *No Balancing* to prevent closings from failing.

Balancing Setup

When the process finds that all the accounting lines for a FY, Fund, and Sub Fund will not fit onto a single transaction and a subsequent transaction is created, the process will have to insert a balancing line on both transactions. A batch parameter exists for the posting code on that line. A204 – Annual Close Offset is the one delivered. That posting code requires a liability balance sheet account as delivered and the process looks to the Annual Close Offset field on the Miscellaneous tab of the Special Accounts page.

Check for Pending Transactions

Verify that no transactions are pending approvals in the year to be closed. Since there will be new-year entries on the Transaction Catalog, you will need to use a reporting tool to search the Transaction Catalog for entries that have a fiscal year equal to the old year and a status of "Pending". Any pending records should be processed (in the old or new year) or rejected and discarded. The following statement can be used with a replacement of CCYY with the year being closed. (SELECT DOC_CD, DOC_DEPT_CD, DOC_ID FROM PSTNG_LN_CAT WHERE FY_DC = *YYYY* AND DOC_PHASE_CD = 2)

Check for Posting Lines not Posted by Journal Engine

Verify all transactions have been journalized for Final or Historical Final transactions. Any such transactions should be journalized. The following statement can be used with a replacement of CCYY with the year being closed. (SELECT DOC_CD, DOC_DEPT_CD, DOC_ID FROM PSTNG_LN_CAT WHERE FY_DC = *YYYY* AND DOC_PHASE_CD in (2, 3) AND JRNL_PSTNG_IND in (1, 2))

Check for Journal Records Not Posted by Ledger Engine

The System Assurance 07 process in the Systems Assurance folder and Batch Jobs sub folder can be run in full mode against the input ledger (LDGR_FYDAD) to find any journal records not ledgerized. If SA7 reports any records, then:

- Ledger Engine in Normal Mode
- If not still - (SELECT * from JRNL_LOG where PROC_ID = 'LDGRPOST' and ST_FL = 4) - any returned then Ledger Engine in Failed Work Mode
- If not still - (SELECT * from JRNL_LOG where PROC_ID = 'LDGRPOST' and ST_FL = 1) – any returned set ST_FL to 4 then Ledger Engine in Failed Work Mode

Input Ledger Assurance

Run the Systems Assurance 03 process with a summary level of "1" (Fiscal Year, Fund, Accounting Period) against the input ledger (LDGR_FYDAD). The output should be an "in sync" result. If the result is not "in sync", then investigate and resolve the problems before continuing.

Check the Closing Rules Configuration Pages

Online configuration settings control much of the logic for the Annual Close. It is always a good idea to verify that these settings are still set to their desired values before running the Annual Close process, especially for the first run. It is a recommended practice that these verifications

are done for subsequent runs to catch new items setup or changes made since the last run. The following are some pages and settings to check:

- **Posting Code Closing Classification:** Verify that all Posting Code Closing Classifications use the right Posting Codes and have the proper Closing Action.
- **Posting Code:** Make sure the settings for all Posting Codes used have the correct Posting Code Closing Classification value. A selection from the input ledger for unique PSTNG_CD_ID values will give the list of codes used for your side. (SELECT PSTNG_CD_ID, COUNT (PSTNG_CD_ID) FROM LDGR_FYDAD GROUP BY PSTNG_CD_ID ORDER BY PSTNG_CD_ID)
- **Special Accounts and Special Fund Accounts:** Ensure that values for accounts referenced by the posting code closing classifications contain valid, active, and do not have effective values that will cause transaction rejections. Only the first four below are on Special Fund Accounts to allow an individual fund code the use of a different balance sheet account. Always verify the following elements:
- **Fund Balance**
  - Retained Earnings
  - Agency Due
  - Net Assets
  - Annual Close Offset
  - Master Closing Object
  - Master Closing Revenue
- **Fund:** Be sure all fund codes for the year being closed have the correct value (account) for Close Fund Into Account: *Fund Balance*, *Retained Earnings*, or *Agency Due*.

Close All Periods Except Period 99

Run the Close Actg Period process (also called the “Accounting Period Close or Monthly Close”) to close all accounting periods, except Period 99, in the year being closed. You can verify this is complete by viewing the Accounting Period page and verifying that all periods prior to 99 have the “Closing Process Run” value of True. The process is found under the Reports – GA sub folder under the General Accounting folder.

If your site keeps APD 99 and 0 soft closed throughout the year, it is time to open those periods now.

Fund Department Requirements

The Fund Department Requirements page defines system-wide rules for requiring many different COA for a Fund and Department combination. It is possible that these rules will cause Annual Close records to reject if a close is done from a ledger where Department retained. If not retained, this step can be skipped. If these requirements will cause problems, you must remove all records before the Annual Close process runs and replace them after the process is finished. There are two ways to do this:

- At the database level, using a database utility. The database table name is REQ_FUND_DEPT.
- Using the System Maintenance Utility. You will need to run the SMU three times: Export, Delete, and Import.

Run Variations

There are three modes for the Annual Close process: *Report Only, Update,* and *Report & Update.* Using the Report Only mode will generate records on the TEMP_FYDAD table for each accounting line that 'would' have been used a close. This data can be reviewed to determine if setup is correct. As that table has no online view, the recommended approach is to run the Annual Close process in a test environment with a copy of production data. This way the process can be run in the Report & Update mode, transactions processed, and then verification done. If a problem is found, then the environment can be restored and tested again with corrected setup.

Report Only Mode

For the Report Only mode, the configuration options for running process is different from the other modes. Only the first job needs to be activated and the others deactivated. Steps to perform this are as follows:

1. Check the boxes in the Disable Job column for jobs 2 to 4 and 5 if it exists
2. Select the Save Action
3. Select the Continue Scheduling Chain Job link

> ***WARNING:*** *Don't forget to click Save before starting the new chain job. This is a crucial step that is often overlooked.*

Running in Report Only modes will generate entries on a temporary table (TEMP_FYDAD). These records are the accounting lines that will be placed on the generated transactions. Reports can then use the TEMP_FYDAD data alone or with the Input Ledger for a review of accounting data to determine if the close should proceed. In the review finds adjustments are necessary, enter those adjustments, run the Ledger Engine, and then another Report Only mode to verify the adjustments were correct. There is no limit to the number of times the Report Only mode can be run.

The Report Only mode also allows for the specification of one fund code so that the review process can be done incrementally. Each time the process is run in Report Only mode the TEMP_FYDAD table is cleared. Successive runs with a single fund will not build data collectively on the table.

> ***NOTE****: The TEMP_FYDAD provides an input source for reports to view trial balances and verify the output of the Annual Close job.*

Update Mode

Running the process in Update mode has to follow a run in Report Only mode. The Update Mode creates transactions based on the existing entries on TEMP_FYDAD. Update mode does not create new entries in TEMP_FYDAD.

***WARNING**: Only run the process in Update Mode if you have previously run the process in Report Only Mode for all funds and verified that the TEMP_FYDAD data is correct. Do not run the Update Mode after running the process in Report Only Mode for only a specific fund. The process will fail in such a case as the application does not allow the closing of a year, one fund at a time.*

Update and Report Mode

Update and Report mode creates the annual close entries on TEMP_FYDAD and also generates transactions that are loaded to complete the process of closing the fiscal year. Update and Report mode can only be run with all funds selected.

Verification

Data validation occurs before any processing starts. These errors can be caused by the failure of input criteria to validate against configuration settings. When an error occurs for these reasons, exceptions are written to an output report of the Annual Close process, and the job chain stops. Review the report and make the necessary changes to setup tables (many are covered earlier in the Steps to Take Before Process section). A new instance of the chain will have to be submitted after the corrections are made. See the Appendix for a sample pages from the Annual Close Exception Report.

Before any accounting data validation, the Ledger Engine should be run to update all ledgers with the annual close data. Then accounting data validation can begin with a trial balance report.

One of the easiest verifications is for a balance sheet account (other than Fund Balance, Retained Earnings, Net Assets, or Agency Due because they are updated as part of the close). The sum total for a Fund in the year closed for APD values up to but not including 99 will be the amount posted in APD 99 except the posting is the opposite from the balance prior to 99. If a debit balance exists from 0 to 13 then a credit is posted in APD 99. The posting is to one of the clearing posting codes and not the one in normal transaction processing. If a summary for that account is done for APD 0 to 99 without posting code being used, the sum should be $0. The amount found from APD 0 to 13 should also be found with the same debit/credit balance and posting code in APD 0 of the subsequent year.

The verification of nominal accounts is slightly more difficult. It can be simplified by using the input ledger (to eliminate excessive COA details). Gather if all spending and revenue accounts from APD 0 to 13 and summarize them by posting code. There will be two postings in APD 99 for each the individual accounts summarize earlier. One will be the opposite debit/credit wise and to the corresponding dummy posting code for the type of spending or revenue. The other will be the same debit/credit wise to the respective closing account for the fund.

Advanced Run Scenarios

None

Post Processing Tasks

Ledger Engine

As mentioned in the Verification section, the Ledger Engine should be run after a successful close to post the journal records created from the close, as many reports use summarized ledger data instead of detail journal data.

Fiscal Year

The process only checks the Closing Process Run indication for the closed year. To be complete you should also check Ledger Engine

Accounting Period

The process only checks the Closing Process Run indication for APD 99 in the closed year and APD 0 in the subsequent year. To be complete you should also check the Closed flags.

Fund Department Requirements

Upon completion of the Annual Close process, your site must reinsert the FDREQ records. There are two ways to do this:

- At the database level, using a database utility. The database table name is REQ_FUND_DEPT.
- Using the System Maintenance Utility (SMU). You will need to run the SMU three times: Export, Delete, and Import.

Populate FY Beginning Balance

General Information

In the Batch Jobs sub folder under the General Accounting folder there is the Populate FY Beginning Balance job. This job reads an input ledger (e.g. LDGR_APD_ACTG) for records in Accounting Period 0 with the Special Accounts value corresponding to the Close Fund Into Account setting for each Fund. These records are selected and summarized when necessary and the total is placed in the FY Beginning Balance fields on the Fund and Sub Fund reference pages.

The total is not just informational but is used by the following inquiry pages: Trial Balance Inquiry and Fund Balance Accounting Period Inquiry.

Required System Pre-Configuration

None

Timing at Year End

This process should be run after the Ledger Engine has posted all the updates made from the transactions generated from the Annual Close process.

Steps to Take Before Process

None – See "Timing at Year End" section please

Run Variations

None

Verification

Comparison to a Trial Balance report run for APD 0 is the recommended method of verification.

Advanced Run Scenarios

If your site has additional equity accounts that you feel should be included in that FY Beginning Balance amount, then that total you desire should be loaded into that amount field by a means other than this process. This amount is not the control amount used on the Fund Balance Detail and Summary pages.

Post Processing Tasks

None

Appendix A: Reports

Appendix A contains the following sample reports:

A.1	**New Year Table Initialization**
	NYTI Process Report
A.2	**Budget Roll**
	Budget Lines Selected for Roll
	Budget Lines Not Rolled
	Budget Links Not Rolled
	Budget Roll Crosswalk of Successful Transactions
	Budget Roll Listing of Unsuccessful Transactions
A.3	**Open Activity Lapse**
	Open Lines to Be Lapsed
	Lapse Transaction Detailed Exception Report
A.4	**Open Activity Roll – Open Activity & Budget Roll**
	Open Lines to Be Rolled
	Roll Transaction Detailed Exception Report
A.5	**Contract Roll**
	Contract Roll Successful Transaction Report
	Contract Roll Failed Transaction Report
A.6	**Depreciation**
	Fixed Asset Depreciation Report
	Fixed Asset Exception Report
A.7	**Clearing Account Maintenance**
	Assurance/Detail Report
	Transaction Exception Report
	Journal Record Exception Report
	Bank Summary Report
A.8	**Pre-Annual Close Sweep**

	Exception Report
A.9	**Automated Accrual & Clearing**
	Automated Accrual Exception Report
	Accrual Clearing Exception Report
	Missing Automated Accrual Transactions
A.10	**Annual Close**
	Exception Report

A.1 New Year Table Initialization

Successful Table

```
Report ID : NYTIRep                                                                    PAGE : 1
DATE RUN  : 11-01-2010
TIME RUN: 01:15:00                                    NYTI Process Report
Run Mode                  1
Base Year                 2013
New Year                  2014
-----------------------------------------------------------------------

Table Name                          R_FY
Records In Base Year                1
Records Selected for New Year       1
Records Successfully Imported       1
Records Failed To Import            0
```

Unsuccessful Table

```
Report ID : NYTIRep                                                                  PAGE : 12
DATE RUN  : 11-01-2010
TIME RUN: 01:15:00                                  NYTI Process Report
Run Mode                  1
Base Year                 2013
New Year                  2014
-----------------------------------------------------------------------

Table Name                        R_DEPT_FY
Records In Base Year              1
Records Selected for New Year     1
Records Successfully Imported     0
Records Failed To Import          1
 Component Name :R_DEPT_FY Error Context  :FY = 2014 AND DEPT_CD = 005 Message ID     :A5517 Severity Level
 :ERROR Message  :1099 Reporting Payer is required. (A5517)
 Component Name :R_DEPT_FY Error Context  :FY = 2014 AND DEPT_CD = 005 Message ID     :A5517 Severity Level
 :ERROR Message  :1099 Reporting Payer is required. (A5517)
 Table:R_DEPT_FY : FY=2014 DEPT_CD=005
```

A.2 Budget Roll

Budget Lines Selected for Roll

RUN DATE: 03-21-2009 Client Name PAGE : 1
TIME RUN: 12:07:02 BUDGET LINES SELECTED FOR ROLL

Parameter ID - 981H
Target BFY - 2010
Target Event Type - BG01
Structure ID - 29/ Level ID - 2
OC Expense Budget

Budget Line	Budget Name
2009/ 001/ 010/ 920/ 010/ 010	Cost Accounting
2009/ 001/ 010/ 920/ 010/ 7020	Operating supplies
2009/ 004/ 004/ 004/ 004/ 004	OBJ004
2009/ 005/ 005/ 123/ 005/ 005	005
2009/ 005/ 920/ 000001/ 920/ 005	005
2009/ 007/ 010/ 007/ 010/ 010	Cost Accounting
2009/ 010/ 010/ 010/ 010/ 010	Cost Accounting
2009/ 711/ 711/ 711/ 711/ 711	Diane's Expense
2009/ 754/ 150/ 100021/ 100/ 7170	Cloth/uniform/tool allowance
2009/ 920/ 920/ DH1/ 920/ D010	obj 1
2009/ AH1/ D010/ AH1/ 1010/ 010	Cost Accounting
2009/ D010/ D010/ D010/ 1010/ D010	obj 1
2009/ EC01/ EC01/ EC01/ EC01/ EC01	EC Object 01
2009/ SH/ SH/ SH/ SH/ SH	SH

Total:
Lines 14

Budget Lines Not Rolled

RUN DATE: 03-29-2011 PAGE : 1
TIME RUN: 09:27:08 BUDGET LINES NOT ROLLED

Parameter ID - 30
Target BFY - 2011
Target Event Type - BG23
Structure ID - 30/ Level ID - 1
OC Revenue Budget

Budget Line	Budget Name
	Either all or no budget lines were selected to roll

Total:
Lines 0

RUN DATE: 03-21-2009 Client Name PAGE : 1
TIME RUN: 12:34:43 BUDGET LINES NOT ROLLED

Parameter ID - 981H
Target BFY - 2010
Target Event Type - BG01
Structure ID - 29/ Level ID - 2
OC Expense Budget

Budget Line	Budget Name
2009/ 001/ 010/ 001/ 010/ 001	Object1

Total:
Lines 1

Budget Links Not Rolled (Budget Lines for Revenue Budgets Not Rolled)

```
RUN DATE:  03-21-2009                                                    PAGE : 1
TIME RUN:  11:22:13          BUDGET LINKS FOR REVENUE BUDGETS NOT ROLLED

Parameter ID - ZBR
Target BFY -   2010
Target Event Type -     BG23
Structure ID - 30/ Level ID - 1
 OC Revenue Budget

Budget Line                                                  Budget Structure Name
                                                  Either all or no budget Links were selected to roll

Total:
    Lines                          0
```

```
RUN DATE:  03-21-2009                        Client Name                 PAGE : 1
TIME RUN:  12:07:02          BUDGET LINKS FOR REVENUE BUDGETS NOT ROLLED

Parameter ID - 981H
Target BFY -   2010
Target Event Type -     BG01
Structure ID - 29/ Level ID - 2
 OC Expense Budget

Budget Line                                                  Budget Structure Name
 2009^010^010^010^010                                        BUD_STRU_30_LVL_1

Total:
    Lines                          1
```

Budget Roll Crosswalk of Successful Transactions

```
RUN DATE:  08-06-2019                        Client Name                 PAGE : 1
TIME RUN:  13:57:37          BUDGET ROLL CROSSWALK OF SUCCESSFUL TRANSACTIONS

Parameter ID - 30
Target BFY -   2020
Target Event Type -     BG23
Structure ID - 30/ Level ID - 1
 OC Revenue Budget

Budget Line                                  Line Amount  Code  Dept  ID                  Line
 2020/ HFD2/ HDP2/ HUN2/ HRS2                      $0.00  BGRV  001   08061900000000000003 1

Total:
    Target BFY Lines               1
    Transaction Submitted          1
```

Budget Roll Listing of Unsuccessful Transactions

```
RUN DATE:  08-06-2019                        Client Name                 PAGE : 1
TIME RUN:  13:57:37          BUDGET ROLL LISTING OF UNSUCCESSFUL TRANSACTIONS

Parameter ID - 30
Target BFY -   2020
Target Event Type -     BG23
Structure ID - 30/ Level ID - 1
 OC Revenue Budget

Budget Line                                  Line Amount  Code  Dept  ID                  Line
 2020/ HFD1/ HDP1/ HUN1/ HRS1                      $0.00  BGRV  001   08061900000000000004 1

Total:
    Target BFY Lines               1
    Trans. Created/Failed          1
```

A.3 Open Activity Lapse

Open Lines to Be Lapsed

REPORT ID: NYLPS — Client Name
RUN DATE : 08-06-2019 — Open Lines to be Lapsed As of 08-06-2019 — PAGE : 5
TIME RUN : 14:04:57

CODE	TRANSACTION ID DEPT	ID	VENDOR LINE	COMM LINE	ACTG LINE	FUND	DEPT	APPR	PROGRAM	EVENT TYPE	PENDING EXISTS	OPEN AMOUNT
GAP	010	01291900000000000002	1	0	1	JW02	010	0001		PR02		$10.00
GAP	010	01291900000000000003	1	0	1	JW02	010	0001		PR02		$10.00
GAP	010	01291900000000000004	1	0	1	JW02	010	0001		PR02		$10.00
GAP	010	01291900000000000005	1	0	1	JW02	010	0001		PR02		$10.00
GAP	010	01291900000000000006	1	0	1	JW02	010	0001		PR02		$10.00
GAP	010	01291900000000000007	1	0	1	JW02	010	0001		PR02		$10.00
GAP	010	01291900000000000008	1	0	1	JW02	010	0001		PR02		$10.00
Trn Code:	7				7							$70.00
RQS	010	03131900000000000085	0	1	1	010	010	010		PR02		$500.00
RQS	010	ASHUTOSH001	0	1	1	JC01	JC01	JC01		PR02		$0.00
RQS	010	EEGROBOT08052019	0	1	1	JC01	JC01	JC01		PR02		$0.00
RQS	010	RQS-T6COPY	0	1	1	JC01	JC01	JC01		PR02		$0.00
RQS	010	RQS0011111	0	1	1	JC01	JC01	JC01		PR02		$0.00
RQS	010	WXQROBOT30052019	0	1	1	JC01	JC01	JC01		PR02		$1,500.00
Trn Code:	6				6							$2,000.00
Trn Dept:	13				13							$2,070.00

Lapse Transaction Detailed Exception Report

REPORT ID: LAPEXDET — Client Name
DATE RUN : 08-06-2019 — LAPSE TRANSACTION DETAILED EXCEPTION REPORT
TIME RUN : 14:22:47 — PAGE : 1

TRN CODE	TRN DEPT	TRN ID	VENDOR LINE	COMM LINE	ACTG LINE	PSTNG LINE	REASONS FOR REJECTION
CBDL	001	08061900000000000001	1	1			Tax Profile is required. (A1510)
CBDL	001	08061900000000000001	1	1			Tax Profile is required (A5066)
CBDL	001	08061900000000000001					Cannot find milestone information for a milestone in this procurement type. (A1491)
CBDL	001	08061900000000000001					The transaction could not be submitted due to errors.
Trn Code:	1						
Trn Dept:	1						

A.4 Open Activity Roll – Open Activity & Budget Roll

Open Lines to Be Rolled

REPORT ID: NYRLL — Client Name
RUN DATE : 08-06-2019 — Open Lines to be Rolled — 08-06-2019 — PAGE : 1
TIME RUN : 14:27:47

CODE	TRANS. ID DEPT	ID	VENDOR LINE	COMM LINE	ACTG LINE	FUND	DEPT	APPR	PROGRAM	EVENT TYPE	PENDING EXISTS	OPEN AMOUNT
DO	001	FZDROBOT12062019	1	1	1	JC01	JC01	JC01		PR05		$100.00
DO	001	IZFROBOT12062019	1	1	1	JC01	JC01	JC01		PR05		$100.00
DO	001	SATYA_DO	1	1	1	010	010	JC01		PR05		$100.00
Trn Code:	3				3							$300.00

Roll Transaction Detail Exception Report

REPORT ID: ROLLEXDET — Client Name
DATE RUN : 08-06-2019 — ROLL TRANSACTION DETAILED EXCEPTION REPORT
TIME RUN : 14:44:07 — PAGE : 1

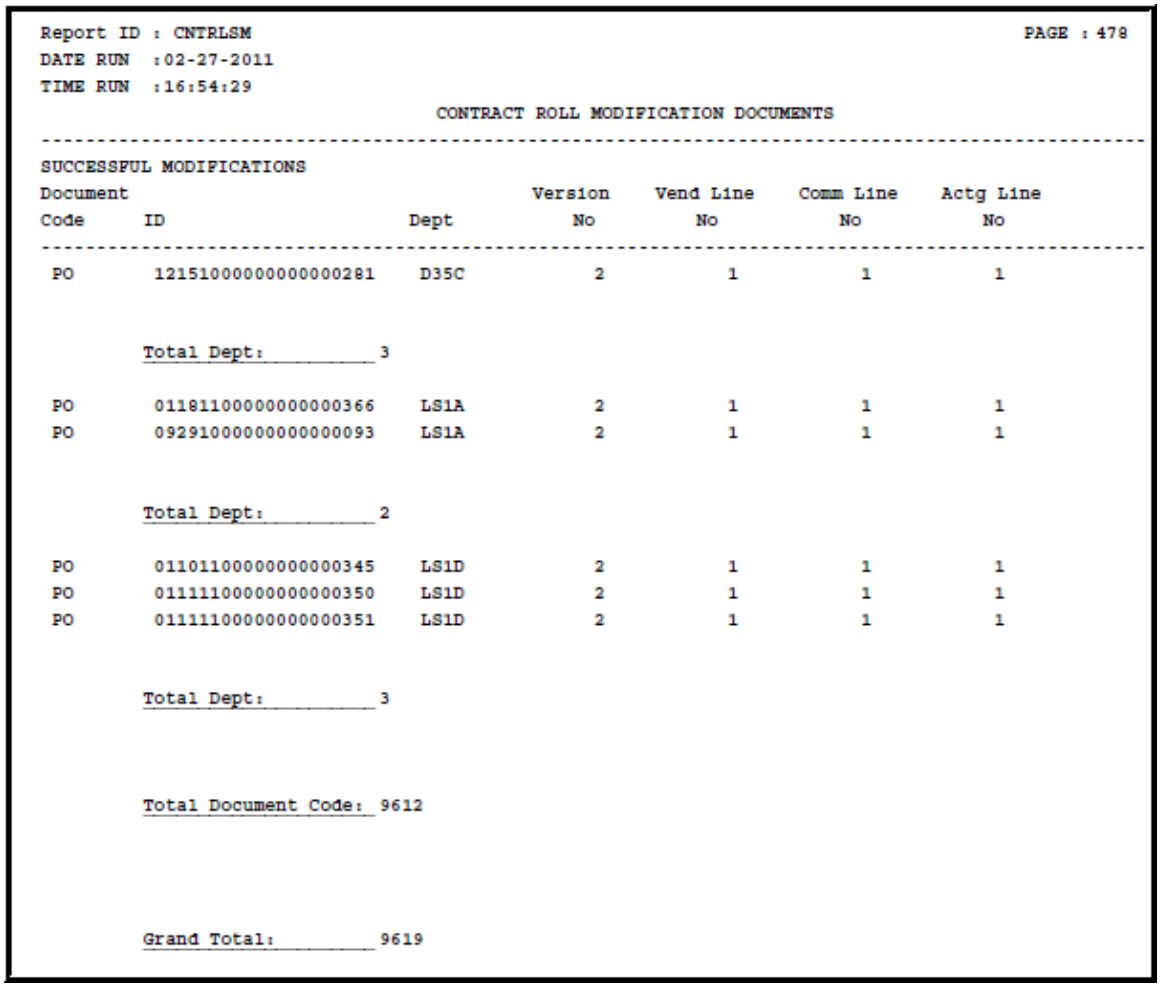
TRN CODE	TRN DEPT	TRN ID	TRN VERS NO	VENDOR LINE	COMM LINE	ACTG LINE	PSTNG LINE	LINE AMT	REASONS FOR REJECTION
GAE	001	RAMAGAESD0001	3	1		1			The Current Fiscal Year and Department does not exist on the Department Fiscal Year Control Table. (A1714)
GAE	001	RAMAGAESD0001	3	1		1			The Current Fiscal Year, Department and Unit does not exist on the Unit Table. (A1714)
GAE	001	RAMAGAESD0001	3	1		1			Future Fiscal Year is not allowed for Transaction Code as defined on Transaction Controls. (A250)
GAE	001	RAMAGAESD0001	3	1		1	1		The Current Fiscal Year, Department and Unit does not exist on the Unit Table. (A1714)
GAE	001	RAMAGAESD0001	3	1		1	2		The Current Fiscal Year and Department does not exist on the Department Fiscal Year Control Table. (A1714)
GAE	001	RAMAGAESD0001	3	1		1	2		The Current Fiscal Year, Department and Unit does not exist on the Unit Table. (A1714)
GAE	001	RAMAGAESD0001	3						The transaction could not be submitted due to errors.

Trn Code: 1

Trn Dept: 1

A.5 Contract Roll

Contract Roll Successful Transaction Report (Contract Roll Modification Transactions)



```
Report ID : CNTRLSM                                                          PAGE : 478
DATE RUN  :02-27-2011
TIME RUN  :16:54:29
                                  CONTRACT ROLL MODIFICATION DOCUMENTS
-------------------------------------------------------------------------------------------------------
SUCCESSFUL MODIFICATIONS
Document                                        Version    Vend Line    Comm Line    Actg Line
Code     ID                          Dept         No          No           No           No
-------------------------------------------------------------------------------------------------------
 PO       12151000000000000281       D35C          2           1            1            1


         Total Dept:_________3

 PO       01181100000000000366       LS1A          2           1            1            1
 PO       09291000000000000093       LS1A          2           1            1            1


         Total Dept:_________2

 PO       01101100000000000345       LS1D          2           1            1            1
 PO       01111100000000000350       LS1D          2           1            1            1
 PO       01111100000000000351       LS1D          2           1            1            1


         Total Dept:_________3


         Total Document Code:_9612




         Grand Total:________9619
```

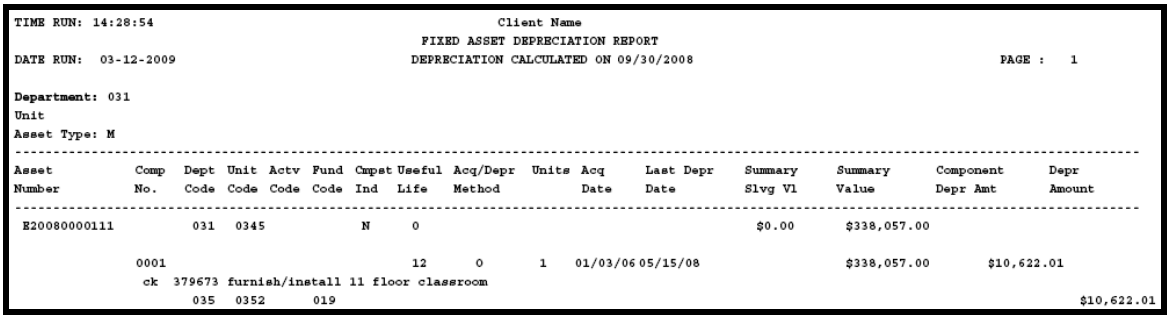
Contract Roll Failed Transaction Report

```
Report ID : CNTRLFM                          Client Name                        PAGE : 1
DATE RUN  :08-06-2019
TIME RUN  :14:54:47
                                  CONTRACT ROLL MODIFICATION TRANSACTIONS
-------------------------------------------------------------------------------------------------------------------------------------------
FAILED MODIFICATIONS
Trans.                                     Vers   Vend Ln  Comm Ln  Actg Ln  Error                       Error    Error
Code    ID                          Dept    No      No       No       No     Context                     Severity Message
-------------------------------------------------------------------------------------------------------------------------------------------
 PO     08061900000000000058   001      2     1       1        2          VEND=1,COMM=1,ACTG=2          2   The Current Fiscal Year and Department
                                                                                                            does not exist on the Department Fiscal
                                                                                                            Year Control Table. (A1714)


        Total Dept:            1


        Total Trans. Code:     1


        Grand Total:           1
```

```
Report ID : CNTRLSM                          Client Name                        PAGE : 1
DATE RUN  :08-06-2019
TIME RUN  :15:05:37
                                  CONTRACT ROLL MODIFICATION TRANSACTIONS
------------------------------------------------------------------------------------------------------
SUCCESSFUL MODIFICATIONS
Trans.                                        Version   Vend Line   Comm Line   Actg Line
Code    ID                          Dept         No        No          No          No
------------------------------------------------------------------------------------------------------
 PO     08061900000000000058   001             2          1           1           2


        Total Dept:            1


        Total Trans. Code:     1


        Grand Total:           1
```

A.6 Depreciation

Fixed Asset Depreciation Report

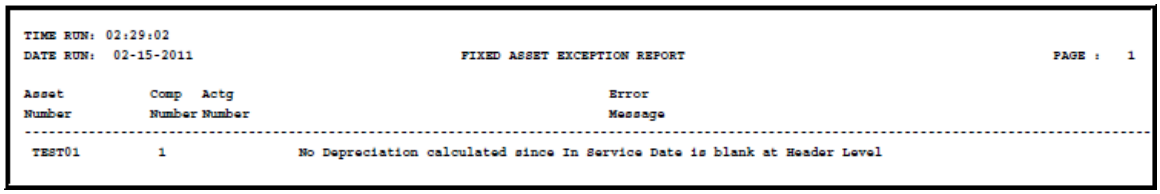


TIME RUN: 14:28:54 Client Name
FIXED ASSET DEPRECIATION REPORT
DATE RUN: 03-12-2009 DEPRECIATION CALCULATED ON 09/30/2008 PAGE : 1

Department: 031
Unit
Asset Type: M

Asset Number	Comp No.	Dept Code	Unit Code	Actv Code	Fund Code	Cmpst Ind	Useful Life	Acq/Depr Method	Units	Acq Date	Last Depr Date	Summary Slvg Vl	Summary Value	Component Depr Amt	Depr Amount
E20080000111		031	0345			N	0					$0.00	$338,057.00		
	0001						12	0	1	01/03/06	05/15/08		$338,057.00	$10,622.01	
	ck 379673 furnish/install 11 floor classroom														
		035	0352		019										$10,622.01

Fixed Asset Exception Report



TIME RUN: 02:29:02
DATE RUN: 02-15-2011 FIXED ASSET EXCEPTION REPORT PAGE : 1

Asset Number	Comp Number	Actg Number	Error Message
TEST01	1		No Depreciation calculated since In Service Date is blank at Header Level

A.7 Clearing Account Maintenance

Assurance/Detail Report

```
Report ID: CAM3                                                                PAGE : 4
Run Date: 03-29-2011                  Assurance/Detail Report
Run Time: 12:09:08

In Sync

Journal Voucher
Code     Dept     ID                       LG     AL              Line Amount       Detail Sum
Details
Code     Dept     ID                       Vers   VL   CL   AL    Amount
IT       020      AUTO0121110000000162     1      1    0    1     ($500.00)
IT       020      AUTO0121110000000165     1      1    0    1     ($200.00)
IT       020      AUTO0121110000000167     1      1    0    1     ($1,000.00)
IT       020      AUTO0121110000000170     1      1    0    1     ($200.00)
IT       020      AUTO0121110000000171     1      1    0    1     ($500.00)
IT       020      AUTO0313110000000150     1      1    0    1     ($150.00)
IT       020      AUTO0113110000000151     1      1    0    1     ($100.00)
IT       020      AUTO0113110000000152     1      1    0    1     ($50.00)

JVCAM    010      03291100000000000006     6      34              $3,081.50         $3,081.50
```

Transaction Exception Report

```
Report ID:CAM1                              Client Name                        PAGE : 1
Run Date: 08-09-2019                 Transaction Exception Report
Run Time: 13:07:30

Code          Dept          ID


All documents submitted successfully
```

Journal Record Exception Report

```
Report ID:CAM2                                                                 PAGE : 1
Run Date: 03-29-2011                Journal Record Exception Report
Run Time: 12:09:08

Code     Dept     ID                       Vers     VL   CL   AL

IET      AD01     IET1000                  2        1    0    1
IET      AD01     IET1000                  2        1    0    1
IET      AD01     IET1000                  2        1    0    1
IET      AD01     IET1000                  2        1    0    1
IT       020      AUTO0108110000000149     3        1    0    1
IT       020      AUTO0108110000000149     3        1    0    1
IT       020      AUTO0108110000000149     3        1    0    1

Total Number of Records: 7
```

Bank Summary Report

```
Report ID: CAM4                                                    PAGE : 6
Run Date: 03-29-2011                  Bank Summary Report
Run Time: 12:09:08

Bank - Name
Fund          Sub Fund      BSA           SBSA          Amount

711 - Bank of America

711                         2810          001           ($10.00)

Total for Bank 711                                      ($10.00)
```

A.8 Pre-Annual Close Sweep

Exception Report

REPORT ID :
DATE RUN : 08-09-2019 Pre Annual Close Sweep Exception Report
TIME RUN :13:29:30 PAGE : 228

Trn Code	Trn Dept	Trn Id	Trn Vers No	Line Grp No	AL No	Posting Code	Line Amount	Reason For Rejects
JVA	010	08091900000000000084	1	1	1	P015	2000.00	# Accounting Period closed - transaction not allowed. (A1598)
JVA	010	08091900000000000084	1	1	2	P015	-1000.00	# The Current Fiscal Year, Department and Unit does not exist on the Unit Table. (A1714)
JVA	010	08091900000000000084	1	1	1	P015	2000.00	# The Current Fiscal Year, Department and Unit does not exist on the Unit Table. (A1714)

A.9 Automated Accrual & Clearing

Automated Accrual Exception Report

REPORT ID: ACCREX — Automated Accrual Exception Report — PAGE : 1
CLIENT NAME :
DATE RUN : 2019-08-09
TIME RUN : 13:52:30

TRN CODE	TRN DEPT	TRN ID	TRN VERS NO	REFR TRN CODE	REFR TRN DEPT	REFR TRN ID	REASONS FOR REJECTION
ACCA	010	08091900000000000001	1	GAX	001	RA01-GAX	Debt ID is required. Debt ID is required. This posting's transaction date is not supported by BFY Profile A (A2078) The transaction could not be submitted due to errors.

Accrual Clearing Exception Report

REPORT ID: ACCREX — Accrual Clearing Exception Report — PAGE : 1
CLIENT NAME :
DATE RUN : 2019-08-12
TIME RUN : 07:26:00

TRN CODE	TRN DEPT	TRN ID	TRN VERS NO	REFR TRN CODE	REFR TRN DEPT	REFR TRN ID	REASONS FOR REJECTION
ACLA	010	120820190000000001	1	MD	001	10091800000000000001	Transaction is not allowed to be used based on Time Restrictions set on Transaction Controls (A626) Unit must be active. Overrideable (A1412) Unit must be active. Overrideable (A1412) Transaction is not allowed to be used based on Time Restrictions set on Transaction Controls (A626) Unit must be active. Overrideable (A1412) Unit must be active. Overrideable (A1412)

A.10 Long Term Account Reclassification

Bypassed Records

```
REPORT ID : LTARBYPS                                          Client Name
DATE RUN  : 08-12-2019                 Long Term Account Reclassification Bypassed Records Report
TIME RUN  : 07:42:00                                                                                                  PAGE : 2

LEASES

DEBT_ID               NAME                                                        REASON
VLEASES_LESSOR        VLEASES_LESSOR                                              No Schedule Details in Current Year
VLEASE_LESSEE         VLEASE_LESSEE                                               No Schedule Details in Current Year
VLEASE_LESSEE_PRC     VLEASE_LESSEE_PRC                                           No Schedule Details in Current Year

TOTAL                    3
```

A.11 Annual Close Exception Report

Report without Errors

```
RUN DATE:   11-25-2010
Report ID: ACLS                                  EXCEPTION REPORT                                   PAGE:    1
RUN TIME: 09:49:33                                 ANNUAL CLOSE
REPORT MODE :
CLOSING AFY : 2005
OPENING AFY : 2006
FUND        :
LEDGER NAME : LDGR_FYDAD

 Period validation successful in Report and Update Mode
```

Report with Errors

```
RUN DATE:   07-06-2010
Report ID: ACLS                                  EXCEPTION REPORT                                   PAGE:    1
RUN TIME: 05:47:23                                 ANNUAL CLOSE
REPORT MODE :
CLOSING AFY : 2006
OPENING AFY : 2007
FUND        :
LEDGER NAME : LDGR_FYDAD

 One or more Accounting Periods are open for the Accounting Fiscal Year being closed other than the closeout Accounting Period

 Cannot proceed to update mode because of failure to pass Period Validation process steps during Update Mode
```