

## AFNS YEAR END - NEW YEAR INSTRUCTIONS

The procedures and deadlines included have been established for closing the fiscal year ending **September 30, 2011** and opening the new fiscal year beginning **October 1, 2011**. By now you should have received the End of Year memorandum from the Finance Department dated **June 3, 2011**. Your agency should set AFNS deadlines to ensure that all electronic files are passed to CAS by the required dates and CAS deadlines are met. Please allow ample time for correcting errors. Attached you will find items to be considered which will assist you in meeting the required deadlines. These procedures do **not** include every CAS deadline, only the ones where transactions have to pass through integration and deadlines specific for AFNS.

Due to our limited technical staff we have established the schedule in this instruction pamphlet. This schedule will assist agencies in ending this fiscal year and beginning the new fiscal year. The jobs listed will be run for your department upon request, but you **must** request the job **before** the scheduled dates. For example, if a job is scheduled to run **August 1** - **August 9**, you must request that job **before August 9**. Attached is an "AFNS NEW YEAR INITIALIZATION" form to complete and return to:

Regular mail:

**Carolyn Thompson**  
State Business Systems Division  
AFNS Agency Assistance  
110 North Union, Suite 298  
Montgomery, AL 36130-2602

Hand-Mail:

**Carolyn Thompson**  
AFNS Agency Assistance  
Suite 298  
Montgomery AL 36130-2602

If you have any questions, please call the AFNS Hotline (242-2686) or email at [Hotline.AFNS@Finance.alabama.gov](mailto:Hotline.AFNS@Finance.alabama.gov). Look for AFNS Instructions and other detailed information online at [www.comptroller.state.al.us](http://www.comptroller.state.al.us).

**NOTICE:** Plans are to bring the AFNS system down at 1:00 pm September **30, 2011**. The System will be back up for processing October **3, 2011** at 7:00 a.m. **It is essential that no ROSCOE programs or monthly reports are run against AFNS on September 30, 2011**. The CAS Office will bring down CAS at 5:00 p.m. on September **28, 2011**. CAS will not be available until 7:00 a.m. on October **3, 2011**. This helps our staff avoid late hours associated with year-end.

June 1 - 17

**NEW YEAR TABLE INITIALIZATION (NYTI)**

The NYTI program creates the crosswalk and master tables for the new fiscal year based on current fiscal year.

**CAS: REVIEW CROSSWALK TABLES (XWLK, OWLK & BRWK)**

Review the FY 11 crosswalk tables for your agency. Any additions or changes must be completed in CAS (FXTC). The XGFS table may be used as a convenient reference for the XWLK table.

The following tables must be used for your additions or changes in CAS (FXTC), and the status code must be changed to '9' on all records that are no longer valid and new records added must have status of '1':

- XWLK - fund/agency/orgn/appr/actv
- OWLK - object/sub-object
- BRWK - revenue source/balance sheet

Additional detailed crosswalk instructions can be located on the CAS webpage under AFNS Instructions, Integration, and Crosswalk Instructions.

**NOTE**: Any new records added to the crosswalk tables for FY 11 after the new year initialization program has been run for CAS will also have to be added for FY 12. FY 12 crosswalk records will be available on **June 20<sup>th</sup>**.

**AFNS: REVIEW AFNS MASTER TABLES**

Review the FY 11 AFNS master tables (chart of accounts, grant tables, etc.) for your agency. The AFNS table listing is on the CAS webpage under AFNS Instructions - AFNS tables.

**NOTE**: On **June 20<sup>th</sup>**, the new FY 12 AFNS master tables will be available. Any new records added to the AFNS master tables for FY 11 after the new year initialization program has been run for AFNS, will also have to be added for FY 12. Changes, additions and deletions made by the agency can be made to the fiscal year (FY) 12 records beginning on **June 20<sup>th</sup>**.

Delete any records from the AFNS OBJ2 & SOBJ tables that are no longer valid in the new year (2012). However, these codes **must** remain active for one year to allow manual warrants (MW) to process without intervention.

June 20

### **PURCHASE ORDERS**

The Purchasing Division begins processing the next fiscal year's Requisitions and Purchase Orders at the end of June before the end of the current fiscal year (11). These transactions are updated in SNAP but are not sent through integration to AFNS until the first working day in October. The transactions will appear on the 3D error report with the next fiscal year (12) in the "FY" column. Due to the volume of requisitions and purchase orders processed, it will take about two weeks for all of them to flow through integration. Monitor these reports with that in mind.

In accordance with accounting regulations, new prior year purchase orders will not be allowed after the fiscal year is closed in **September**. Purchase orders for prior year Capital Outlay will be accepted. Prior year Purchase Orders can be increased until the end of the 13th accounting period (**last working day in November**).

#### **Reminder: COST OVERRUNS ON PURCHASE ORDERS**

Departments will be required to submit a Purchase Order Change (FD-PUR 1200 Exhibit 4-7-1) to State Purchasing if the cost overrun exceeds \$100.00. All freight charges (prepaid or added by vendor) must reference the Purchase Order (PO) number on the voucher.

Any cost overrun of less than \$100 per purchase order should be liquidated by referencing the proper PO number, and using the 'F' in the final indicator column. (Please remember this is for SNAP Purchase Orders only, not Contract Purchase Orders.)

However, after the close of the 13th accounting period, cost overruns to prior year purchase orders **cannot** be paid. The PO overrun tolerance is set to zero after the close of the 13th Accounting Period. It is imperative that each agency increase the PO amount relating to cost overruns in shipment or freight charges before the close

of the 13th accounting period. After the close of the 13th accounting period the vendor will be required to file a claim with the Board of Adjustment to cover any amount not on purchase order.

**Starting August 12** (CAS Deadline - Starting August 15)

**PAYMENT VOUCHERS REFERENCING 10 PURCHASE ORDERS/CONTRACTS**

All payment vouchers referencing FY 10 purchase orders/contracts must be placed in separate batches from all other payment vouchers. The batch must be clearly labeled "10" in red letters. To ensure that these vouchers are in separate batches, use a separate check category code. Check category codes are listed on the CCAT table in AFNS.

**August 25** (CAS Deadline - August 26)

**PAYMENT VOUCHERS (REFERENCING 10 PURCHASE ORDERS AND PROFESSIONAL SERVICES CONTRACTS)**

All payment vouchers referencing 10 purchase orders/contracts (complete with supporting documentation) must be received by the CAS Office by **3:30 p.m. August 26<sup>th</sup>**.

To meet the CAS deadlines for vouchers consider the following: (1) crosswalk errors, (2) the time it takes to assemble vouchers, (3) the time it takes to deliver vouchers to the CAS Office, and (4) **August 25<sup>th</sup>** nightly cycle will move the electronic file to CAS to meet the **August 26<sup>th</sup>** deadline.

**August 31**

**11 PURCHASE ORDER MODS**

**August 31<sup>st</sup>** is the last day to process any FY 11 purchase order modifications in this fiscal year. Remember, State Purchasing will **not** process any FY 11 purchase order changes from September 1 - September 30<sup>th</sup>. However, beginning October 1<sup>st</sup> through November 30<sup>th</sup> (13<sup>th</sup> accounting period) agencies can enter purchase order changes for FY 11.

**Note:** Please refer to the **June 20<sup>th</sup>** deadline reminder regarding Cost Overruns on Purchase Orders.

August 31 (CAS Deadline - September 1)

**11 REQUISITIONS MUST BE CONVERTED TO A PURCHASE ORDER  
(EXCEPT CAPITOL OUTLAY)**

All 11 requisitions and purchase orders must have updated AFNS, CAS and sent flag back to SNAP by **September 1<sup>st</sup>**. On **August 31<sup>st</sup>**, check the AFNS and CAS suspense file (SUSF) for any rejected purchase orders and requisitions that need to be fixed. Remember to also check your integration reports.

Starting September 2

**PURCHASE ORDER ROLLOVER (NYPO)**

This process will select only BFY 10 open purchase orders and create purchase order transactions to modify the outstanding balances to zero (including capital outlay purchase orders). Since capital outlay purchase orders need to be open for the new fiscal year, agencies with capital outlay have **two options**:

**Option 1:**

Agencies can let capital outlay purchase orders be modified to zero. Then the agency **must** copy the decreasing purchase order transaction on the suspense file and reverse the entries to reinstate the purchase order.

**Option 2:**

Agencies that do NOT want capital outlay purchase orders modified to zero should put approvals on PO transactions before the NYPO process is run. The following working day the agency should remove the approval flag, delete the capital outlay transactions and perform an edit (ED) on all other PO transactions.

To determine which purchase orders were cleared, look at the INCB003D & INCBC02B reports. Retain these reports for your records. The AFNS staff will automatically delete these transactions from these reports.

**NOTE:** If a PO modification rejects in AFNS & has to be edited/processed by your agency, please enter 'AFNS ONLY' in the Description field of the PO; this will keep the PO modification from showing up on the INCB003D or INCBC02B error reports. If 'AFNS ONLY' isn't entered in

the Description field, please notify the AFNS Hotline to request the PO error be deleted from the INCB003D or INCBC02B reports. This needs to be made after one Nightly Cycle has passed.

CAS will run a similar program to clear all the BFY 10 purchase orders from CAS tables on September 2, 2011.

#### **NEW YEAR REQUISITION TABLE CLEARING (NYRQ)**

This process will close every outstanding BFY 11 requisition by creating a decreasing RQ transaction. Any 11 requisitions that have not become purchase orders must be reentered into SNAP as BFY 12 requisitions.

Requisitions that were closed by NYRQ will be listed on the INCB003D & INCBC02B reports. Retain these reports for your records. The AFNS staff will automatically delete these transactions from these reports.

**NOTE:** If a RQ modification rejects in AFNS & has to be edited/processed by your agency, please enter 'AFNS ONLY' in the Comment field of the RQ; this will keep the RQ modification from showing up on the INCB003D or INCBC02B error reports. If 'AFNS ONLY' isn't entered in the Comment field, please notify the AFNS Hotline to request the RQ error be deleted from the INCB003D or INCBC02B reports. This needs to be made after one Nightly Cycle has passed.

CAS will run a similar program to clear BFY 11 requisitions from CAS tables on September 2, 2011.

September 8 (CAS Deadline - September 9)

#### **PAYMENT VOUCHERS (OTHER THAN VOUCHERS REFERENCING BFY 10 PO/CONTRACTS)**

Payment vouchers (complete with supporting documentation) must be received by the CAS Office by **3:30 p.m. September 9<sup>th</sup>**. Note that September 8<sup>th</sup>'s Nightly Cycle will produce the hard copy of the voucher. Remember to allow ample time for crosswalk errors, the time it takes to assemble vouchers, and the time it takes to deliver vouchers to the CAS Office.

September 13 (CAS Deadline - September 14)

**JOURNAL VOUCHERS (OTHER THAN ACCOUNTS PAYABLE JOURNAL VOUCHERS)**

All journal vouchers (other than the year-end accounts payable journal vouchers) must be entered into AFNS by 5:00 p.m. on September 13<sup>th</sup>, to pass through integration to CAS. The hard copy of the journal voucher with the necessary backup must be at CAS **by 5:00 p.m.** on September 14<sup>th</sup>. Remember to allow ample time for crosswalk errors.

September 15 (CAS Deadline - September 16)

**YEAR-END ACCOUNTS PAYABLE JOURNAL VOUCHERS**

Each accounts payable journal voucher must be:

- 1) Entered and accepted no later than September 15<sup>th</sup> in AFNS. JVs require one nightly cycle to integrate data to CAS. Every journal voucher must follow the numbering scheme outlined in the procedures memo from the Finance Department, dated June 3, 2011 on page 8. Since an "E" must be in the last position of the document identification number, automatic numbering cannot be used for these transactions.

**In order for these journal vouchers to be reversed, code "09 30 11" in the reversal date field. If 09 30 11 is not keyed in the reversal date field, the agency will be required to manually enter the reversal journal vouchers and cause the expenditures to be overstated.**

- 2) Accounts payable journal vouchers must successfully complete the integration cycle. Enter accounts payable journal vouchers in ample time to fix crosswalk errors (XWLK, OWLK and BRWK) and budget problems.
- 3) Account type 22 **cannot** be entered on the APJV with a credit amount (as if reversing the entry). CAS will not process the JV with an Account Type 22 credit entry. If the APJV was entered incorrectly and the document accepted in AFNS, an OTJV will have to be entered into AFNS to reverse the entry out of AFNS ONLY. The OTJV must have an 'E' on the

end of the JV number. A new APJV will then have to be entered with the corrected information.

**NOTE:** The following should be included on the APJV:

- Invoices that have **not** been received;
- Obligations that an invoice has **not** been received such as travel claims, utility bills, & phone bills;
- Vouchers that are Green Slipped and will **not** be paid until October (the new fiscal year);
- Professional Services Contracts that have **not** created a PO;
- Purchase Order Modifications that have **not** updated CAS; and
- Any telephone authorizations (they do **not** encumber the money).

September 15 (CAS Deadline - September 16)

#### GREEN SLIPPED VOUCHERS

All green slipped vouchers must be returned **by 12:00 noon** on this date to insure processing in this fiscal year. Note: green slipped payment vouchers that have to be reprinted **must** be completed in the AFNS system by **September 15, 2011** in order to meet the CAS deadline.

**Any payment vouchers rejected, green slipped, or otherwise not completed must be included in the year-end accounts payable journal vouchers. These payment vouchers must be modified to zero in the AFNS system.**

Starting September 20 (Before October 3<sup>rd</sup>)

#### AUTOMATIC DOCUMENT NUMBERING

Update the Automatic Numbering Table (ADNT) prior to entering any transactions. This can be updated in September after all **11** vouchers have been entered.

#### ENTERING NEW FISCAL YEAR PAYMENT VOUCHERS BEFORE OCTOBER 3<sup>rd</sup>

After the ADNT (Automatic Document Numbering) table has been updated for **FY 12**, agencies can enter payment vouchers dated with a future process date on SUSF.

**Note:** The future dated payment vouchers will begin to be processed during nightly cycle on **October 3, 2011**.

The transaction date may be left blank or **10 03 11** can be entered. Follow the instructions given in the Finance Department's letter dated **June 3, 2010** on **page 11 - 12** for the correct accounting period and BFY.

Do **not** perform a function of edit (ed) or run (r) on the document. Enter an 'S' in the function. No edits will be performed until the nightly cycle; however, the transaction status will show 'SCHED' (scheduled).

After all vouchers are entered for the day, the future process date must be entered in the format of YYMMDD on the SUSF table. For this scenario, vouchers should have a future process date of **111003** or greater.

This year during the first week in October there will be no limit on the number of vouchers each agency can schedule to run per night. However, we do request that if any given night your agency needs to process more than 500 vouchers, please notify the AFNS office.

**September 27** (CAS Deadline - September 28<sup>th</sup>)

#### CASH RECEIPTS

**September 28<sup>th</sup>** is the last day the Treasurer's Office will accept & process FY **11** transactions. In order for FY **11** Cash Receipts to be accepted & processed, the Cash Receipts must be received by the Treasurer's Office by 10:00 am on **September 28<sup>th</sup>**.

All **11** cash receipts must be received by the CAS Office by **3:30 p.m. September 28<sup>th</sup>**.

To meet the CAS deadlines for cash receipts consider the following: (1) crosswalk errors, (2) the time it takes to assemble cash receipts, (3) the time it takes to deliver cash receipts to the CAS Office & Treasurer's Office, and (4) **September 27<sup>th</sup>** nightly cycle will move the electronic file to CAS to meet the **September 28<sup>th</sup>** deadline.

Deposits made after 10:00 am on **September 28<sup>th</sup>** will be processed as FY **10** transactions. Cash Receipt document numbers for FY **10** should begin with a '2' (**two**). Therefore, cash receipts for **FY 12** should **not** be entered until after Automatic Numbering for cash receipts has been updated on the AFNS ADNT table.

## September 30

### ACCOUNTS PAYABLE REVERSAL JOURNAL VOUCHERS (RESJ)

The accounts payable journal vouchers will be reversed to restore your spending authority for the thirteenth accounting period. The AFNS staff is responsible for running the RESJ.

### BBAL TABLE (BALANCE SHEET ACCOUNT CODES) CLEANUP

Look in both systems (AFNS & CAS)

- 1215 Bad Checks Receivable, 7941 Insurance Refund due Employees, 7947 Insurance Refund due Employer, 9050 Salary Refunds Payable, & 9051 Flex Plan Refund Payable - **should be zero by Sept. 30<sup>th</sup>**.

A quick reference will be to compare the AFNS & CAS BBAL tables, along with the AFNS A65B Report & the CAS A613 Report.

**Note:** If your agency doesn't use the same AFNS balance sheet codes as listed above, please verify that your agency's equivalent AFNS balance sheet code is zero by **Sept 30<sup>th</sup>**.

For questions regarding CAS BBAL balances, please contact Gwen Barnett (phone 334-242-2192 or email [Gwen.Barnett@Comptroller.alabama.gov](mailto:Gwen.Barnett@Comptroller.alabama.gov)) of the Financial Reporting section of the Comptroller's office.

## Starting September 30

### CLEANING UP OUTSTANDING PV, RQ, & PO TRANSACTIONS

AFNS staff will begin running programs to list any outstanding payment vouchers, requisitions, and purchase order transactions. This step has been implemented due to CAS maintaining the vendor file. The list(s) for your agency along with instructions on how to clean up these transactions will be forwarded to each agency.

## Beginning October 3

### AGENCIES PAYING RISK MANAGEMENT INVOICES

When paying Risk Management invoices, remember that the account coding on the IFSH table in CAS must be checked for **each** invoice before paying more than one invoice on a single payment voucher. **The account coding on IFSH for each invoice number must be identical before multiple invoices can be paid on one payment voucher.**

**Rule of Thumb:** If Risk Management invoices start with AL or GL - they can be paid on a single payment voucher. If the Risk Management invoices start with EA or EI - they can be paid on a single payment voucher. However, if the Risk Management invoice begins with FB, AP, or PR these will *each* have to be paid on a separate payment voucher.

### **FY 11 PURCHASE ORDER MODS**

Prior year Purchase Orders (**FY 11**) can be increased until the end of the 13th accounting period (**October 3<sup>rd</sup> thru November 30<sup>th</sup>**).

**Note:** Please refer to the **June 20<sup>th</sup>** deadline reminder regarding Cost Overruns on Purchase Orders.

### **FY 11 PAYMENT VOUCHERS (NOT REFERENCING PURCHASE ORDERS)**

All **FY 11** payment vouchers (not referencing purchase orders) must be placed in separate batches from all other payment vouchers. The batch must be clearly labeled "11" in red letters. To ensure that these vouchers are in separate batches, use a separate check category code. Check category codes are listed on the CCAT table in AFNS.

### **PAYMENT VOUCHERS REFERENCING INTERFUND INVOICES**

For any payment voucher referencing Interfund invoices, the payment voucher 'ACCT PRD' (Account Period) Year **must** match the CAS 'Invoice AFY' year for the invoice as indicated on the IFSH table in CAS.

## CASH RECEIPTS

Please key a separate Cash Receipt when multiple BFYs are involved. For example, when referencing invoices from prior year and current year, two separate Cash Receipts need to be entered. One cash receipt referencing prior year invoices (**FY 11**) and a separate Cash Receipt referencing current year invoices (**FY 12**).

### October 3

#### CHANGING CONTROLS FOR EXPENSE BUDGET LINES

*Control Options are found on the FUN2 Table.*

Full Control - Full Control (C) will NOT allow you to overspend the line item budget (major object code) and requires that a record be built by an EB transaction.

Presence Control - Presence Control (P) requires that the line item record (major object code) be built by an EB transaction but allows the line item budget to overspend.

No Control - No Control (N) does NOT check the line item budget and does NOT require that a record be built by an EB transaction.

Cumulative - Cumulative (Q) is for allotments ONLY. Allows unobligated amounts from prior periods to be used in the current period.

#### CHANGING CONTROLS FOR 2011 (PRIOR FISCAL YEAR)

On October 3, CAS will change the 2011 controls to allow the agencies to overspend the major object code budgets. However, CAS will continue to have full control edits on the allotments.

#### CHANGING CONTROLS FOR 2012 (NEW FISCAL YEAR)

Agencies that would like to change the new fiscal year controls can do so at this time. A reason an agency would change AFNS controls would be to have AFNS controls the same as CAS controls. **If there are no changes to the control options then no action is necessary.**

November 15 (CAS Deadline - November 16)

**FY 11 PAYMENT VOUCHERS NOT REFERENCING PURCHASE ORDERS**

All **FY 11** payment vouchers not referencing purchase orders (accounts payable) and their supporting documentation must be received by the CAS Office by **3:30 p.m.** on **November 16<sup>th</sup>**. In order to meet the CAS deadline, these vouchers must be entered into the AFNS system by **November 15, 2011**.

November 22 (CAS Deadline - November 23)

**GREEN SLIPPED VOUCHERS**

All green slipped vouchers must be returned by **12:00 noon** on this date to insure processing in the thirteenth accounting period. Note: green slipped payment vouchers that have to be reprinted must be completed in the AFNS system by November **22, 2011** in order to meet the CAS deadline.

November 30

**FY 11 PURCHASE ORDER MODS**

Last day to process PO changes for prior year purchase orders.

**Note:** Please refer to the **June 20<sup>th</sup>** deadline reminder regarding Cost Overruns on Purchase Orders.

**BBAL TABLE (BALANCE SHEET ACCOUNT CODES) CLEANUP**

Look in both systems (AFNS & CAS)

- 2901 Voucher Payables Adjustments & 1006 Cash-Reductions for Bad Checks - **should be zero by Nov 30<sup>th</sup>**.
- 1206 Advance Travel - **Prior year must be zero by Nov 30<sup>th</sup>**.

A quick reference will be to compare the AFNS & CAS BBAL tables, along with the AFNS A65B Report & the CAS A613 Report.

**Note:** If your agency doesn't use the same AFNS balance sheet codes as listed above, please verify that your agency's equivalent AFNS balance sheet code is zero by **Nov 30<sup>th</sup>**.

For questions regarding CAS BBAL balances, please contact Gwen Barnett (phone 334-242-2192 or email [Gwen.Barnett@Comptroller.alabama.gov](mailto:Gwen.Barnett@Comptroller.alabama.gov)) of the Financial Reporting section of the Comptroller's office.

#### **PRIOR YEAR (FY 11) & NEW YEAR (FY 12) INVOICES**

After the end of the 13<sup>th</sup> accounting period, all **FY 11** invoices need to be modified down to zero.

If the invoice has been replaced or is no longer needed, it will have to be modified to zero. If the invoice should have been paid and your agency is **not** allowed to write it off, your agency must modify the invoice to zero and reenter in the current fiscal year (**FY 12**) referencing the original budget fiscal year (**FY 11**) in the description field.

After the end of the 13<sup>th</sup> accounting period, any new invoices keyed will need to be for the current year (**FY 12**).

#### **THIRTEENTH ACCOUNTING PERIOD**

Thirteenth accounting period closes. JVs for correction of material errors will be accepted through early January 20**12**.

**AFNS NEW YEAR INITIALIZATION**

**2011-2012**

FORESTRY  
Application 3  
Agency 009

	YES	NO
NYPO		
NYRQ		
RESJ		

SYSTEM ADMINISTRATOR \_\_\_\_\_

DATE \_\_\_\_\_

PHONE \_\_\_\_\_