



# **Statewide Financial System (SFS) Program**

**NYSICA  
December 1, 2011**

# Agenda

- SFS Background and Benefits
- SFS Functionality
- Live Now: Statewide Vendor File, Agency Vendor Portal, eSupplier
- Wrap Up and Questions

# SFS Background and Benefits

# SFS Program Governance

## **SFS Governance Board**

---

**Office of the State Comptroller  
Joan Sullivan**

---

**Division of the Budget  
Ron Greenberg**

### **Strategic Direction**

**Budget**

**Scope**

**Resource Planning**

**Scheduled and Major Deployment Issues**

# SFS Steering Committee

## SFS Steering Committee

Composed of representatives from:

**Office of the State Comptroller**

**Division of the Budget**

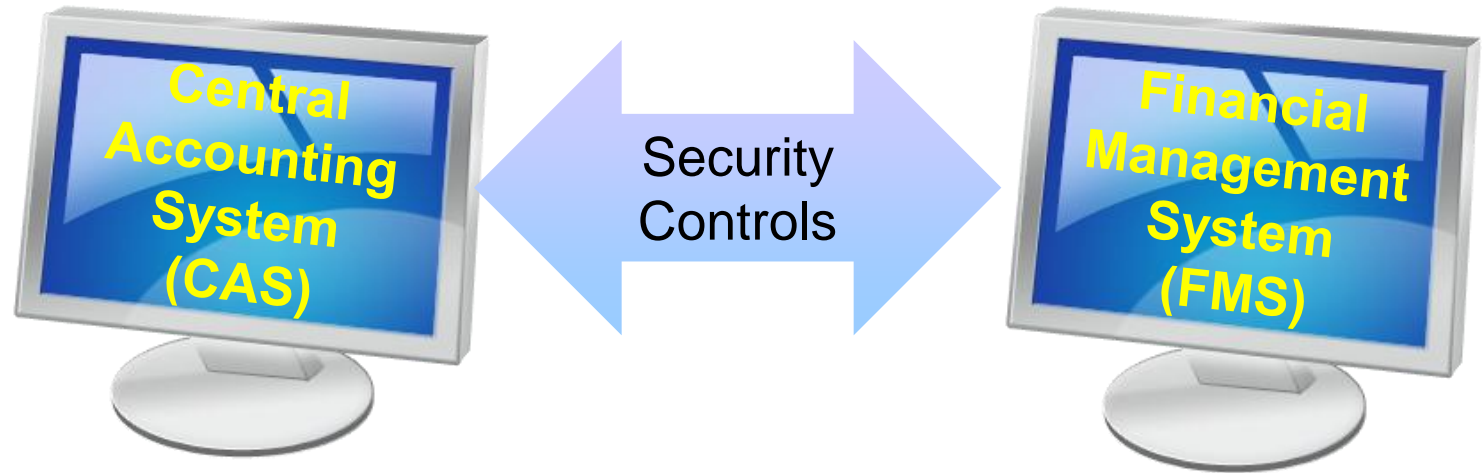
**Key Stakeholders from State Agencies**

**Provides expertise, advice and input  
into decision making**

**Helps ensure alignment among sponsoring agencies,  
the SFS Program Team and the remaining state agencies**

**Acts as a voice for agencies in implementation**

# SFS = Two Financial Components



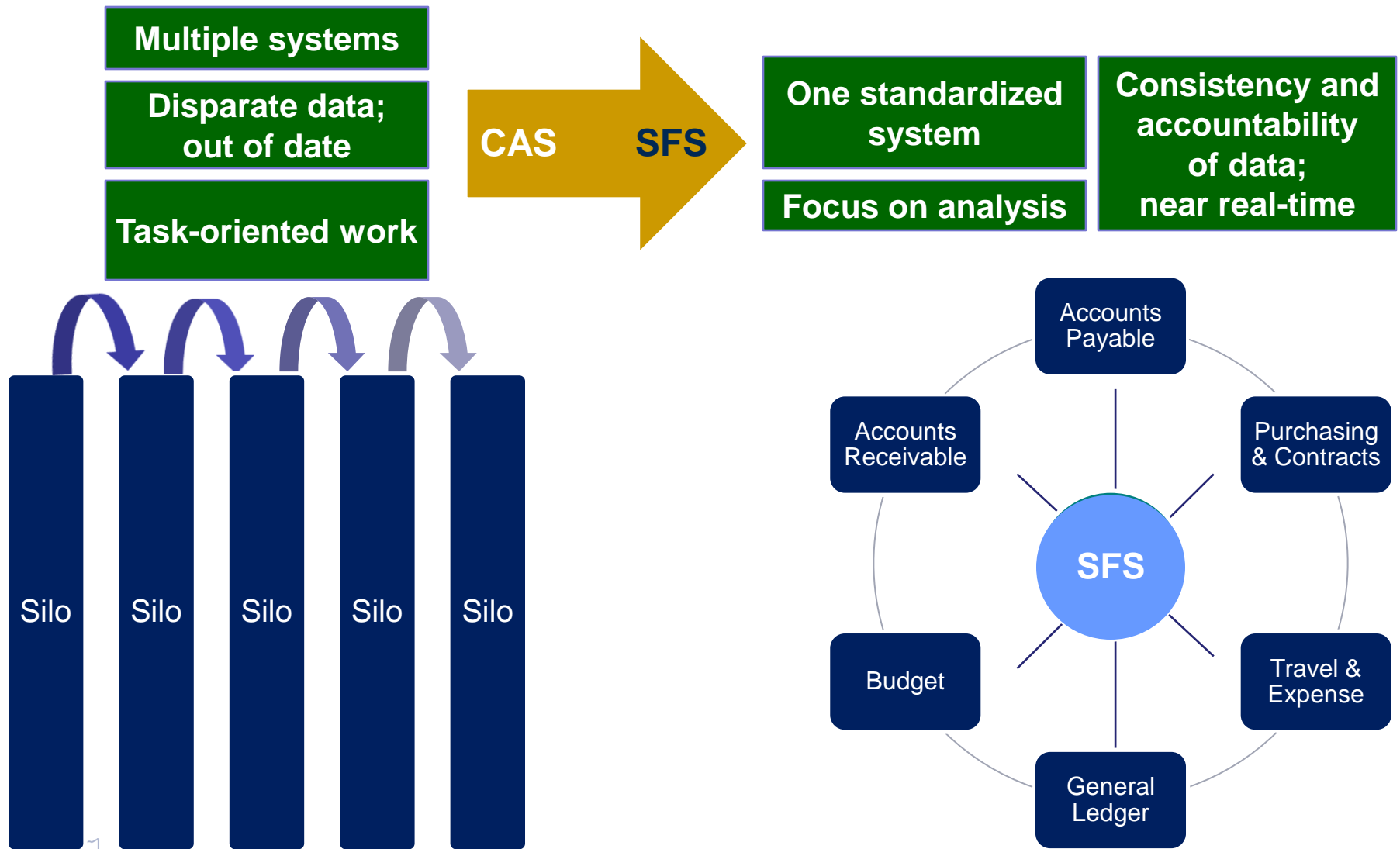
## OSC

- CAS component:
  - “Official book of records” for State financial data
  - Supports OSC’s audit/control responsibilities

## Agencies

- FMS component:
  - Supports agencies’ financial management system needs
  - Phased roll-out with increased system functionality in each phase

# Benefits of the SFS



# Creating Synergies for NYS

## Benefits to All

- Streamlined business processes
- Elimination of redundant systems
- Reduced implementation / maintenance costs
- Statewide Vendor File
- Restructured Chart of Accounts (cost centers)

## Benefits to Agencies

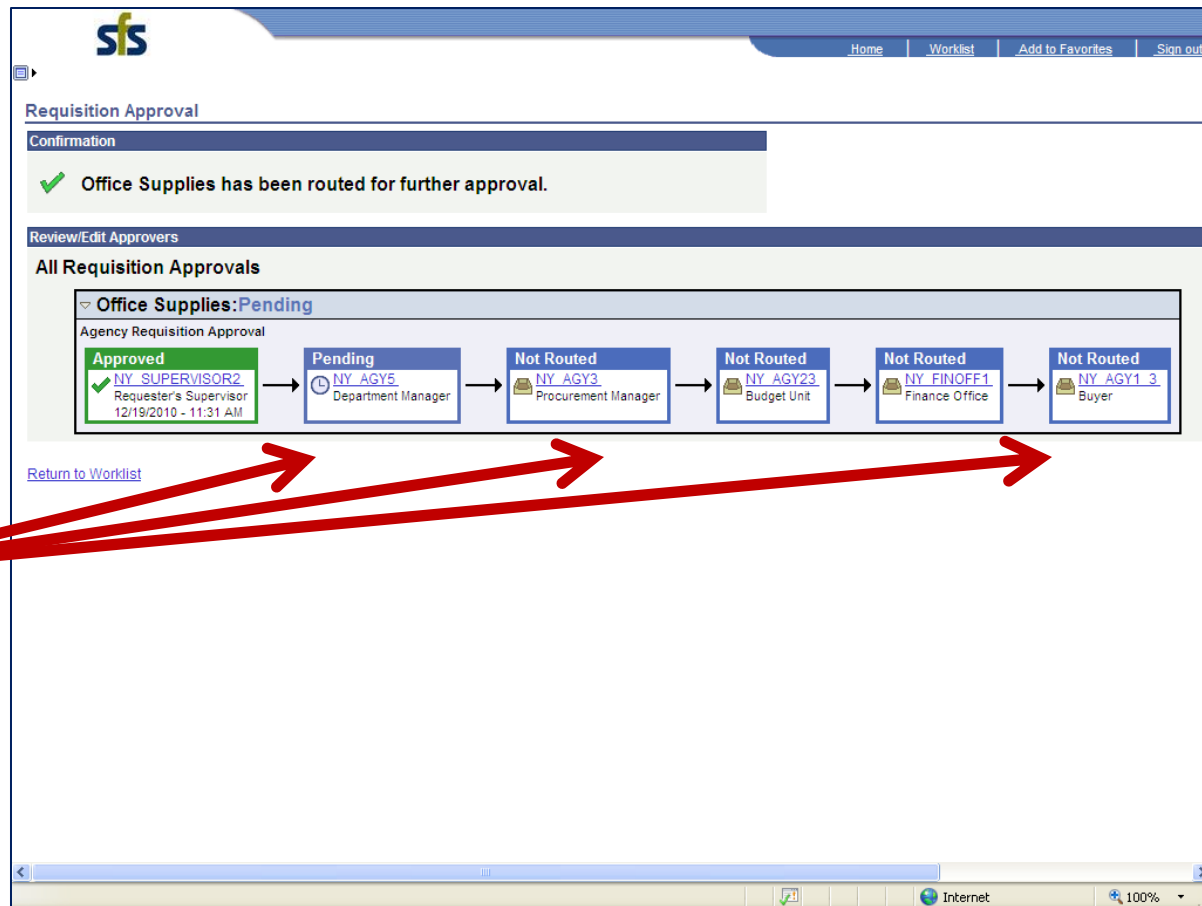
- Automated business processes increase staff and management effectiveness
- Automated workflow
- Systematic tracking of transaction status
- Streamlined extracting, obtaining, formatting and reconciling of financial information
- Improved capabilities for reporting, queries and analysis



# Benefits Example: Transparency

Complete, transparent life cycle for transactions

Agencies  
know  
transaction  
status  
at  
every stage



# SFS Program Scope

## PHASE 1

61 agencies  
9,800+ core users  
78,000+ travelers

eProcurement / Requisitions  
Treasury / Cash Management  
Contract Audit Management  
Vendor File  
Budget (KK)  
Purchasing / Statewide Vendor File  
Accounts Payable / Travel  
Revenue  
Project Accounting (Federal Grants,  
Capital and IT Projects)

## BEYOND PHASE 1

23,000+ core users  
90,000+ travelers

All functions fully implemented  
for all Executive Agencies

Grantee and Grantor (State as)  
Executive Budget Making and  
Management  
Asset Management  
Inventory Management  
Data Warehouse and Business  
Intelligence

# Phase 1 vs. Future Phase

## Phase 1 Agencies

Direct online entry into the SFS

## Future Phase Agencies

Bulkload transaction interface

Limited direct online entry,  
e.g. Travel and Expense



**The SFS will be the official book of record**

**CAS will be the main data source for conversions**

**Agency systems suspended during blackout;  
source documents retained until SFS available**

# SFS Functionality

# Statewide Chartfields

| Chartfield                                    | Information Captured   |
|---|--|
| <b>Department</b>                             | <ul style="list-style-type: none"><li>• Tracks an Agency's organization structure</li></ul>  |
| <b>Program</b>                                | <ul style="list-style-type: none"><li>• Aligns with bill copy</li><li>• Allows agencies to go to lower level than bill copy</li><li>• Program concept no longer captured in object codes</li></ul>   |
| <b>Fund / Subfund</b>                         | <ul style="list-style-type: none"><li>• Minimal changes</li></ul>  |
| <b>Account<br/>(i.e., object code in CAS)</b> | <ul style="list-style-type: none"><li>• Redesigned current object code structure<ul style="list-style-type: none"><li>○ <i>Reduced codes from over 2,000 to about 900</i></li></ul></li><li>• Reflects statewide needs only<ul style="list-style-type: none"><li>○ Program concepts moved to Program chartfield</li><li>○ Commodity code detail in Purchasing module</li><li>○ Agency specific needs in Product chartfield</li></ul></li></ul> |
| <b>Project / Activity</b>                     | <ul style="list-style-type: none"><li>• Tracks Federal Grants; Oil Spill Projects; various projects as defined by agencies</li></ul>   |
| <b>Budget Reference</b>                       | <ul style="list-style-type: none"><li>• Captures appropriation year</li></ul>  |
| <b>Class</b>                                  | <ul style="list-style-type: none"><li>• Reflects period of Probable Use Concept (PPU)</li></ul>  |

# Agency-Specific Chartfields

| Chartfield                               | Information Captured  |
|--|---|
| <b>Operating Unit</b>                    | <ul style="list-style-type: none"><li>Records location (e.g. physical facilities), region (e.g. regional offices), or geographic type data</li></ul>  |
| <b>Product</b>                           | <ul style="list-style-type: none"><li>Captures revenues and expenses at a more detailed level than Statewide (e.g., specific fees, fines, or licenses)</li></ul>  |
| <b>Chartfields 1, 2 and 3 Agency Use</b> | <ul style="list-style-type: none"><li>Agency-specific information not captured in another chartfield</li><li>Tags transactions for the purpose of accumulating information (e.g., federal reporting)</li><li>Replace DOT Subledgers for land claims, eminent domain, and highway localities</li></ul> |

# Cost Centers to SFS Chartfields

## CAS Cost Center

| Agency Code | Cost Center | Variable | Year |
|-------------|-------------|----------|------|
|-------------|-------------|----------|------|

| Object |
|--------|
|--------|

## SFS Core Chartfields

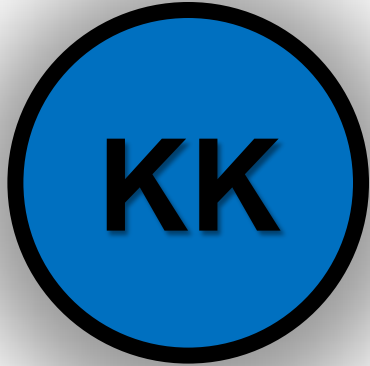
| Department | Program | Fund | Budget Reference | Project ID / Activity (Federal Grants) |
|------------|---------|------|------------------|--|
|------------|---------|------|------------------|--|

| Account |
|---------|
|---------|

## Additional chartfields for Agency-specific and granular-level information

| Operating Unit | Product | Class | Chartfield 1 | Chartfield 2 | Chartfield 3 |
|----------------|---------|-------|--------------|--------------|--------------|
|----------------|---------|-------|--------------|--------------|--------------|

# Commitment Control (KK)



## Statewide KK Definitions (Required)

- Appropriations (Parent of Segregations)
- Segregation (Child of Appropriations)
- Cash Control (Loan Language)
- Project (Federal Grant Award)

## DOB KK Definitions (DOB)

- Cash Ceilings

## Agency KK Definitions (Optional)

- Lower level of control for Agency operational budgets



# Commitment Control (KK)



**Electronic budget certificates replace paper-based process**

**Automated workflow routing / signoff in the SFS**

**Approval status of pending budget entries**

**Consistent statewide budget definitions for appropriations / segregations**

**Greater flexibility through Agency budget definitions**

**Account balances consistent among agencies and OSC**

# Commitment Control (KK)



**Electronic workflow approval of journals**

**Transactions checked for validity of chartfield combinations**

**Supports interchange, transfer and suballocation rules**

**Functionality to establish Statewide and Agency-specific budgets**

**Budgeted amounts can be increased or decreased throughout the year, as appropriate**

# Commitment Control (KK)



**KK**

Budgets can be established to:

- Hard Control: deny processing (e.g., Appropriations) of the transaction when it exceeds budget, OR
- Soft Control: continue processing (e.g., Payroll) the transaction with a system warning message when exceeded

# Purchasing (PO)



**Improved data for  
buying / purchasing**

**Better managed  
organizational spending**

**Electronic approvals  
of requisitions /  
purchase orders**

**Automated / simplified  
receiving process**

**Automatic download of  
Purchase Card  
transaction data for  
review / reconciliation**

**Key Data Field validation  
during / shortly after  
transaction entry**

# Accounts Payable (AP)



**Eliminate paper voucher submission to OSC for review and approval**

**Automated application of credit memos**

**One-to-one relationship between invoices / vouchers**

**Automated calculation of merchandise / invoice received (MIR) date**

**More timely invoice entry / processing**

**Automated matching**

# Travel and Expense (TE)



**Detailed expense types  
drive taxability reporting**

**Employees maintained  
in Employee File**

**Document attachment for  
Time and Expense  
facilitates Agency  
approval process**

**Reduced expense  
document processing  
time**

**More complete data  
on, and tracking of,  
corrections**

**Download of Travel Card  
transactions from  
credit card provider**

**Improved visibility and  
audit of Travel Card  
transactions**

# Accounts Receivable/Billing (AR/BI)



**Improved recording /  
management of  
Receivables, including  
credit and collections**

**Automated Interagency  
Billing  
(Phase 1 agencies)**

**Invoicing and revenue  
recording process  
standardization**

**Improved classification  
of revenues due to single  
Chart of Accounts**

# Project Costings (PC)



**Establish and maintain grants**  
**Federal Grants; better access to funding**

**Fringe benefits / indirect costs**

**Statewide projects**

**Capital projects**



# Reporting & Inquiry Tool Access

## Reporting

**Report catalog  
contains 400+ reports**

- Over 200 custom reports
- 162 delivered reports

## Reporting & Inquiry

## Inquiry

**All agencies will have  
inquiry access**

- Meet the need currently filled by CAS inquiry screens
- Reduces the number of reports required
- No more paper “CTRL D”
- Electronic “Book of Record” reports
- Over 100 inquiry reports

# SFS Training

SFS 101 Introduction  
to SFS Navigation

PO 101 Introduction  
to Purchasing (PO)

AP 101 Introduction  
to Accounts  
Payable (AP)

AR/BI 101  
Introduction  
to Accounts  
Receivable/Billing  
(AR/BI)

GL 101 Introduction  
to General Ledger  
(GL)

34 Web-based  
Training courses

10 Train-the-  
Trainer courses

Over 400 Job  
Aids

Refresher  
training through  
early 2012

<http://www.sfs.ny.gov/training/sfsTraining.htm>

**Live Now:**  
**Statewide Vendor File,**  
**Agency Vendor Portal,**  
**eSupplier**

# Vendor File

**Live Now!**

- Managed by OSC Vendor Management Unit
- Ensures conformity with set financial standards
- Eliminates vendor record duplication
- Facilitates Federal reporting
- Reduces fraudulent claims
- Allows direct vendor access via vendor portal (eSupplier) for business information management / payment status
- Enables validation of vendor registration for approval of contracts / payment processing

# Agency Access Vendor Portal

**Live Now!**

- Agency requests for the addition of new vendors via direct entry. VMU responsible for approving vendor additions
- Agency users with Vendor Add access may view vendor information via vendor report
- Reporting and inquiry now available:
  - New Approved Vendor Report
  - Vendor TIN Mismatch Report
  - Vendor Inquiry By TIN/Municipality Code
- Job Aids available for password, COA, reporting and inquiry, and vendor add functionality

# Agency Access Vendor Portal

Agencies  
may make  
direct entry  
vendor  
requests

**Vendor Add Request**

**New Vendor Request**

SetID: SHARE Vendor Staging ID: 0000000124

**Vendor Information**

\*Vendor Name1:  Vendor Name should denote 'Vendor Legal Name' as shown on W-9.

Vendor Name2:  Name fields are max 40 characters in length. Name2 field should be used only when Name1 exceeds 40 characters in length.

\*Contact Name:  Note: Email address is that of the Vendor Contact.

Vendor Email Id:

1099 Reportable ☒ Withholding Class:  Non-Employee Compensation

\*TIN:

Address ID: 1 Description: Remit To

Country: USA

\*Address Line 1:

Address Line 2:

Address Line 3:

Address Line 4:

\*City:  County  \*Postal Code:

\*State:  New York

**Requesting Agency Information**

\*Requesting Agency:  Office of State Comptroller

\*Contact Name:

\*Email ID:

# eSupplier Access

**Live Now!**

- Vendor primary contact has the ability to create user ID and password
- Vendor users have the ability to view their data
- Authorized Vendor users have the ability to modify their data (addresses and contact info)
- Vendor users have the ability to change their password
- SFS Help Desk will be the first line of support to assist Vendor users
- VMU will produce training for Vendor users

# eSupplier: Vendor User Capabilities

The screenshot shows the 'Maintain Contacts' page. On the left is a menu with options like 'Maintain Supplier Information', 'Manage Orders', and 'Review Payment Information'. The main area is titled 'Current Contacts' and contains a table with columns 'Description' and 'Name'. The table lists 'Rockland Manager' with name 'Vijay' and a 'NEW CONTACT 020411' with name 'NEW CONTACT'. Below the table is a button labeled 'Add a New Contact'.

| Description        | Name        | Edit                 | Delete                 |
|--------------------|-------------|----------------------|------------------------|
| Rockland Manager   | Vijay       | <a href="#">Edit</a> | <a href="#">Delete</a> |
| NEW CONTACT 020411 | NEW CONTACT | <a href="#">Edit</a> | <a href="#">Delete</a> |

[Add a New Contact](#)

Create new contact

Edit existing contact

The screenshot shows the 'Contact Information' form for editing an existing contact. The form includes fields for 'Description', 'Name', 'Email ID', 'URL', 'Location', 'Role', and 'Status'. Below these is a 'Telephone Information' section with a table for adding phone numbers. The 'Save' button is at the bottom.

**Contact Information**

Description: New Contact 020811

Name: ALBANY\_CONTACT

Email ID: contact@abcvendor.com

URL: www.abcvendor.com

Location: Order to

Role: Primary

Status: Active

**Telephone Information**

| *Type    | Prefix | Phone      | Ext | Add                 | Delete                 |
|----------|--------|------------|-----|---------------------|------------------------|
| Business |        | 5185555555 |     | <a href="#">Add</a> | <a href="#">Delete</a> |

[Return to Contact List](#) [Future Contacts](#)

[Save](#)

\* Required Field



# In Summary

- Live now with improved, centralized vendor management
- Standardization, beginning-to-end process improvements
- Greater effectiveness, transparency, data reliability
- Electronic reporting and inquiry for a better, more detailed, more flexible financial picture
- Automated budget processing

# Questions

