Business Applications Modernization Project

Process Inventory
January 21, 2020
<table>
<thead>
<tr>
<th>#</th>
<th>End to End Process</th>
<th>Acronym</th>
<th>Functional Lead(s)</th>
<th>System</th>
<th>Page(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>01.</td>
<td>Apply to Award (Single Family Grants at AHC)</td>
<td>ATA</td>
<td>Both</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>02.</td>
<td>Bid to Build (Multifamily Finance at HFA)</td>
<td>BTB</td>
<td>Both</td>
<td>4-5</td>
<td></td>
</tr>
<tr>
<td>03.</td>
<td>Conversion to Closeout (Multifamily Asset Mgmt. @ HFA)</td>
<td>CTC</td>
<td>Both</td>
<td>6-7</td>
<td></td>
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<tr>
<td>04.</td>
<td>Hire to Retire (Human Resources Functions) &amp; Travel</td>
<td>HTR</td>
<td>SAP</td>
<td>8-10</td>
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<td>05.</td>
<td>Cash to Invest (Treasury Functions)</td>
<td>CTI</td>
<td>SAP</td>
<td>11-17</td>
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<td>06.</td>
<td>Offer to Cash Debt (Debt Issuance &amp; Bond Functions)</td>
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<td>SAP</td>
<td>18-20</td>
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<td>07.</td>
<td>Offer to Cash Loans (Issuing Loans)</td>
<td>OTCL</td>
<td>SAP</td>
<td>21</td>
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</tr>
<tr>
<td>08.</td>
<td>Procure to Pay (Direct Purchasing &amp; Contracting Functions)</td>
<td>PTP</td>
<td>SAP</td>
<td>22-29</td>
<td></td>
</tr>
<tr>
<td>09.</td>
<td>Plan to Report (Budgeting, A/P, A/R, &amp; other Functions)</td>
<td>PTR</td>
<td>SAP</td>
<td>30-36</td>
<td></td>
</tr>
</tbody>
</table>
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PLACEHOLDER for APPLY TO AWARD
02.00 Bid-to-Build Process at HFA

<table>
<thead>
<tr>
<th>Borrower</th>
<th>OF&amp;D, Underwriting</th>
<th>OF&amp;D, Debt Issuance</th>
<th>OF&amp;D, Accounting/ Treasury</th>
<th>OF&amp;D, Loan Svng</th>
<th>OF&amp;D, Const. &amp; ES</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>(1) Application Phase</strong></td>
<td><strong>(2) Underwriting Phase</strong></td>
<td><strong>(3) Mortgage Closing Phase</strong></td>
<td><strong>(4) Bond Closing Phase</strong></td>
<td><strong>(5) Construction Phase</strong></td>
<td></td>
</tr>
</tbody>
</table>
| Application Submission Process (Smartdocs via Procorem Work Center) | Assign applications | *Bond Types:* 
1. Bond funded • Recycled bonds 
2. Refinancings 
3. Back-to-back/Private Placement 
4. Tax credit only deal (Special Projects) 
5. External lender, MD | Contract Reporting Process (EC&B/HFA) | |
| **SONYMA** only Project Setup 05’ | **SONYMA** only Project Setup 05’ | Setup Process for HFA Financial Instruments (enter legal terms for Cash Flows) | **SONYMA** only Project Setup 05’ |
| **SAP** | **SAP** | **SONYMA** only Project Setup 05’ | **SONYMA** only Project Setup 05’ |
| **First Construction Requisition Memo** | **First Construction Requisition Memo** | **First Construction Requisition Memo** | **Final Requisition or Draw Closeout Process** |
| OTCL-ERP-INB-0003 (see CR-266) | OTCL-ERP-INB-0003 (see CR-266) | OTCL-ERP-INB-0003 (see CR-266) | |
| **First Construction Requisition or Draw Process** | **First Construction Requisition or Draw Process** | **First Construction Requisition or Draw Process** | **Construction Loan Disbursement / Construction Requisition or Draw Process** |
| **Construction Loan Disbursement / Construction Requisition or Draw Process** | **Construction Loan Disbursement / Construction Requisition or Draw Process** | **Final Requisition or Draw Closeout Process** | **Construction Loan Disbursement / Construction Requisition or Draw Process** |
| **Construction Loan Disbursement / Construction Requisition or Draw Process** | **Construction Loan Disbursement / Construction Requisition or Draw Process** | **Construction Loan Disbursement / Construction Requisition or Draw Process** | **Construction Loan Disbursement / Construction Requisition or Draw Process** |

Key: 
- **White** = SAP process 
- **Blue** = ProLinkHFA process 
- **Yellow** = unconfirmed process 
- **Orange** = problem 
- **White** = note 
- **System Name**

**Set up bond process**

**INB-0030 will not create third party business partner like OMH or HUD!**

**OTCL-ERP-INB-0020**

Creates ‘business partner’ in SAP

**OTCL-ERP-INB-0022**

Creates ‘Profit ctr’ and ‘internal order’ and ‘portfolio’ in SAP

**OTCL-ERP-OUT-0042**

Sends LOC from SAP to ProLinkHFA

**Environmental Services Unit Environmental Review (SEQRA)**

**Bond Pricing Process**

(enter final terms for Closing)

(Official Statement)

**Contractual Property” in ProLinkHFA triggers:**

**SETUP FRAMEWORK**

**Project Sign-off “pencils down”**

**Bond Structuring Process (external) Subp: Caine-Mitter smart, cash flows (Pre Official Statement)**

**First Construction Requisition Memo**

**To page 2.**

**Version: 12/17/2019**

Date: 01/04/2020
(6) Conversion from Construction to Permanent Financing

To conversion
to closeout

IRS Form 8609 / 8610 Issuance Process

IRS Form 8610 (to notify IRS of tax credit claimant)

US Internal Revenue Service (IRS)

Building Registration Process for Building Identification Number (BIN)

Data conversion and migration for BINS stored in XLSX

To page 1.

Collect final "sources and uses" (to convert, use case: collect unspent subsidy, e.g.)

IRS Form 8609 (to claim tax credit)

To conversion
to closeout

IRS Form 8609 / 8610 Issuance Process

Conformation of LOC amounts received by Bank and Enter Extra Data

 IRS Form 8609 / 8610 Issuance Process

IRS Form 8609 (to claim tax credit)

Data conversion and migration for BINS stored in XLSX

Prepare & Send Marketing Plan Questionnaire?

FEHO

Questionnaire?

Prepare & Send Marketing Plan Questionnaire?

FEHO

IRS Form 8609 / 8610 Issuance Process

IRS Form 8609 (to claim tax credit)

Data conversion and migration for BINS stored in XLSX

Collect final "sources and uses" (to convert, use case: collect unspent subsidy, e.g.)

IRS Form 8609 (to claim tax credit)

Data conversion and migration for BINS stored in XLSX

Collect final "sources and uses" (to convert, use case: collect unspent subsidy, e.g.)
03.00 Conversion to Closeout at HFA

**Office of Finance & Development, Multifamily [Group]**
**Loan Servicing Unit [Unit]**

- Collaborate with Special project & AMU to finalize conversion to permanent
- Notify AMU of conversion

**Office of Housing Preservation [Group]**
**Statewide Asset Management Unit (AMU) [Unit]**

- Ongoing and Monitoring Phase
- Construction to Permanent Financing Conversion Phase
- Project Onboarding Phase

- Initial Review and project onboarding (marketing plan)
- Approval of IRS 8609 issuance
- Project setup for B2B

**Utility Allowance Review (due April 1)**

**Apr to June**

**Due Diligence**

**Jan – March**

- HUD Only or 147 Dr. Due
- Releasing Tenant Complaint (involves 45-day process)
- Releasing Tenant Complaint (continues thru year)
- Annual Income Qualifying Unit Rpting process
- Monthly Operating Rpt

**April to June**

- Monitoring Watch list for high to moderate risk projects
- Releasing Annual Audited Financial statements process
- Releasing Annual Audited Financial statements process

**Nov**

- Owner 1st Dr. Submission due
- Only from NYC 5 boroughs projects initiated project owner/mgmt agent
03.00 Conversion to Closeout at HFA

Ongoing and Monitoring Phase

- Calculating projected loss using Analysis Checklist
- Monitoring watch list for high risk projects
- Owner's annual verification process
- Disbursing Reserve for Replacement funds
- Tax & Insurance Review
- Owner Submit Utility Allowance
- Submitting SONYMA Ins. Claim
- Issuing IRS 8823 issuance (Non-compliance with LIHTC)
- Meeting project Ownership process
- Receiving Tenant Complaint (continuous thru year)
- Monitoring watch list for high risk projects
- Due diligence pre-review for new Management
- Changing the Managing Agent process
- Meetings
- Project Mortgage Payoffs
- Changing project Ownership process

Ongoing Phase

- Reporting Tenant Demographics to Federal Gov't. HUD Rpt. due 9/30
- SONYMA and Moody's and Fitch process
- Owner's annual verification process
- Reporting Tenant Demographics to Federal Gov't. HUD Rpt. due 9/30
- Owner Submit Utility Allowance
- Submitting SONYMA Ins. Claim
- Issuing IRS 8823 issuance (Non-compliance with LIHTC)
- Meeting project Ownership process
- Receiving Tenant Complaint (continuous thru year)
- Monitoring watch list for high risk projects
- Due diligence pre-review for new Management
- Changing the Managing Agent process
- Meetings
- Project Mortgage Payoffs
- Changing project Ownership process

Ad-hoc [or one-time] Processes

- Due diligence pre-review for new Management
- Changing the Managing Agent process
- Meeting project Ownership process
- Receiving Tenant Complaint (continuous thru year)
- Monitoring watch list for high risk projects

Key:
- White = SAP process
- Blue = ProLinkHFA process
- Orange = Other HCR partner system
- Yellow = unconfirmed process
- Grey = Manual processes

Date: 01/04/2020
# Hire-to-Retire (HTR) Processes

<table>
<thead>
<tr>
<th>Process Flow Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>HTR-FLOW-001 HR Position Requisition &amp; Employee Hiring</strong></td>
<td>Process to create positions and process personnel actions (i.e. hiring, retiring, termination)</td>
</tr>
<tr>
<td><strong>HTR – Travel Reimbursement</strong></td>
<td>Disbursement process to reimburse agency employees for travel</td>
</tr>
</tbody>
</table>
HTR-Position Creation & Employee Hiring Process

This Process Flow describes the Lifecycle on an Employee (Recruitment to Paycheck)

1. Position Requisition
2. Executive Staffing Approval Manual (Outside SAP)
3. Approved
4. No

5. BPML 1.1.10.10
6. Create Position
7. Employee Recruitment Process (Outside SAP)
8. Employee Recruited
9. Employee Master Data
10. BPML 1.2.10.10
11. Hiring of the employee
12. BPML 1.4.11.10
13. Enter Employee Master Data & Upload Reimbursements csv files (ADP System)
14. Weekly Payroll Run (ADP)
15. BPML 1.4.12.10
16. Extract & Store SFTP Payroll Results Data File.csv
17. Verify Payroll Results Data Stored in Custom tables
18. BPML 1.4.12.10
19. Run Payroll Allocation (1018) Program (PTR-CSV-0006)
20. BPML 7.2.22.11
21. Verify Payroll Allocation Payroll cost is assigned to Financial objects based on Entities (Functional Area)
22. Payroll Posted

Employee Master Data
Options:
1. Follow current manual process
2. Extract the file from SAP & send it via email (PDF & CSV)
3. eSign by HR VP (paper)
## Cash-to-Invest (CTI) Processes

<table>
<thead>
<tr>
<th>Process Flow Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CTI-01-01 Treasury Master Data Maintenance – Investments</td>
<td>Process to create or maintain a Treasury Partner (Issuer, Counterparty, Custodian)</td>
</tr>
<tr>
<td>CTI-02-01 Investment Transactions Processing</td>
<td>Process to record investment purchases &amp; sales</td>
</tr>
<tr>
<td>CTI-02-02 Accounting for Bonds and Investments including Period End</td>
<td>Process to record for financial documents for debts and investments including period end processing</td>
</tr>
<tr>
<td>CTI-02-03 Market Data Investment and Debt</td>
<td>Process to update Market Data for Investments for Debts</td>
</tr>
<tr>
<td>CTI-02-04 Bank Statement and Reconciliation Process</td>
<td>Process to reconcile bank statements</td>
</tr>
<tr>
<td>CTI-02-05 Treasury Payments – Bank to Bank Transfer</td>
<td>Disbursement process for Bank to Bank Transfer (not part of requisition process)</td>
</tr>
<tr>
<td>CTI-02-06 Cash Management</td>
<td>Process to determine the net cash available for investment / forecast</td>
</tr>
</tbody>
</table>
CTI-01-01 Treasury Master Data Maintenance - Investments

(Process to create or maintain a Treasury Partner (Issuer, Counterparty, Custodian))

**Inputs**
- (1) Need to create a new TR Business Partner
- (2) E-Mail Request to create TR Business Partner
- (3) Business Partner Create/ Edit
- (4) Does Partner Back Exist in SAP?
- (5) Enter / Edit Banking information
- (6) Extend to TR Roles, Company Codes and enter authorization for Product Types
- (7) Counterparty role?
- (8) Issuer role?
- (9) Custodian role?
- (10) Update Legal Data
- (11) Update Dealer Rotation
- (12) Maintain Securities Account (As needed)

**Outputs**
- (13) End

**Central Financial Master Data Administrator**
- (5) Enter / Edit Banking information

**Treasury Investment Authorizer**
- (6) Extend to TR Roles, Company Codes and enter authorization for Product Types
- (7) Counterparty role?
- (8) Issuer role?
- (9) Custodian role?
- (10) Update Legal Data
- (11) Update Dealer Rotation
- (12) Maintain Securities Account (As needed)

**Treasury Investment Administrator**
- (1) Need to create a new TR Business Partner
- (2) E-Mail Request to create TR Business Partner
- (3) Business Partner Create/ Edit
- (4) Does Partner Back Exist in SAP?
- (5) Enter / Edit Banking information
- (6) Extend to TR Roles, Company Codes and enter authorization for Product Types
- (7) Counterparty role?
- (8) Issuer role?
- (9) Custodian role?
- (10) Update Legal Data
- (11) Update Dealer Rotation
- (12) Maintain Securities Account (As needed)

**Version:** 2019-12-12

Date: 01/04/2020
CTI-02-01 Investments - Transaction Processing – All Investment Instruments

Process to record Investment purchases & sales

**Inputs**

1. **New Investment Trade**

2. **Existing Security?**
   - Yes: **Create Security Class** (FWZZ)
   - No: **New Project?**
     - Yes: **Create Security Account** (TRS_SEC_ACC)
     - No: **Bank Accounts Require Funding?**
       - Yes: **BAM-DLI-M-2g-ii (Bank to Bank Transfer)**
       - No: **Create & Save Pre-Trade** (ZTRADE)

3. **Create Security Class** (FWZZ)

4. **New Project?**
   - Yes: **Create Security Account** (TRS_SEC_ACC)
   - No: **Bank Accounts Require Funding?**
     - Yes: **BAM-DLI-M-2g-ii (Bank to Bank Transfer)**
     - No: **Create & Save Pre-Trade** (ZTRADE)

5. **Create Security Account** (TRS_SEC_ACC)

6. **Bank Accounts Require Funding?**
   - Yes: **BAM-DLI-M-2g-ii (Bank to Bank Transfer)**
   - No: **Create & Save Pre-Trade** (ZTRADE)

7. **Create & Save Pre-Trade** (ZTRADE)

8. **Validate Trade** (ZTRADE)

9. **Create Trade** (ZTRADE)

10. **Optional: Generate Settlement Letter to review Trade** (ZFTR_FRM_INVESTMENT)

11. **Automated Validation to ZTFFM_CASHBAL Table**

12. **SettleTrade** (ZTRADE)

13. **Review Dealer Log** (ZDEALLOG_RPT)

14. **End**

**Outputs**

- **Investment Master Data Administrator**
- **Data Administrator**
- **Treasury Authorized Signatory**

**Date:** 01/04/2020

Version: 2019-12-12
CTI-02-02 Accounting for Bonds and Investments including period end

Process to record for financial documents for debts and investments including period end processing

Inputs
- Settled Financial Debt / Investment Instrument
- Post Financial Instrument Accounting Documents
- Reverse Financial Instrument Accounting Documents
- Post Debt Position (Interest)
- Is Interest accurate?
- Post Derived Transactions (Gain or loss)
- Period End Process for Debt / Investment

Treasury Accounting
- Post Debit Position (Interest)
- TPM10
- TPM13
- TPM20
- TPM20A
- Post Valuation
- TPM1
- TPM2
- TPM44
- TPM45
- Reverse Valuation
- Reverse Accrual
- Re-class debt from LT to ST
- FTR_ALERT
- FWSO / FWZE

Treasury Reporting
- Position List
- Alert Monitor
- Report Flows
- Posting Report
- Payment Report

Outputs
- End

Version: 2019-12-12

BAM Process Inventory Page 14 of 36 Date: 01/04/2020
CTI-02-03 Market Data - Investments and Debts

Process to update Market Data for Investments and Debts

Inputs:
1. Updates to Reference Interest Rate for Variable Rate Instruments
2. Upload/Update Reference Interest Rate
3. Variable Rate (Money Market or Securities?)
4. Automatic Interest Rate Adjustment for MM Variable Rate Financial Instrument
5. Automatic Cash Flow Updates for Securities Variable Rate Financial Instruments
6. Updates to Security Prices

Outputs:
7. Update Security Closing Price (Direct Price not Broker Price)
8. To BAM-DLI-M-2d Bonds & Investments Period End

Batch Jobs:
- Batch Jobs to update Market Data for Investments and Debts

CTI-02-03 Market Data - Investments and Debts
Inputs Outputs
Process to update Market Data for Investments and Debts
1. Updates to Reference Interest Rate for Variable Rate Instruments
2. Upload/Update Reference Interest Rate
3. Variable Rate (Money Market or Securities?)
4. Automatic Interest Rate Adjustment for MM Variable Rate Financial Instrument
5. Automatic Cash Flow Updates for Securities Variable Rate Financial Instruments
6. Updates to Security Prices
7. Update Security Closing Price (Direct Price not Broker Price)
8. To BAM-DLI-M-2d Bonds & Investments Period End

Date: 01/04/2020
Version: 2019-12-12
CTI-02-04 Bank Statement and Reconciliation Process

Process to reconcile bank statements

Inputs


SAP PI

2. Sweep encrypted Prior Day EBS file from Bank(s)
3. Encryption and renaming of the file for processing in SAP
4. Move the file to designated directory
5. Is file import successful?
   No
   6. Create an error file to import into SAP subsequently
   Yes

Batch Job – SAP ECC

7. Import bank statements and auto clear where possible

Cash Reconciliation Specialist

8. Yes
   9. Are Bank Clearing Accounts auto matched accurately?
   No
   10. Reset individual cleared items if necessary

Print/Display bank statement as needed

11. Filter the unclear items
12. Investigate open items daily and review
13. Perform manual matching
14. Auto-clearing possible?
   Yes
   15. Run Auto Clearing Program
   No
16. Manually Import bank statement from error folder

Outputs

17. Check Bank Statements Not Imported
18. Monitor Bank Statement Import
19. Contact SAP Support Team for follow-up
20. End

Version: 2019-12-12
Date: 01/04/2020
CTI-02-05 Treasury Payments – Bank to bank transfer

Disbursement process for Bank to Bank Transfer (not part of requisition process)
# Order-to-Cash Debt (OTCD) Processes

<table>
<thead>
<tr>
<th>Process Flow Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>OTCD-01-01 Debt Master Data</td>
<td>Process to create or maintain a Treasury Debt Master Records</td>
</tr>
<tr>
<td>OTCD-02-01 Debt Processing Issuance</td>
<td>Process to record debt issuance through bonds, redemptions (exercising calls or unplanned buy back) and Servicing</td>
</tr>
<tr>
<td>Redemptions Servicing</td>
<td></td>
</tr>
</tbody>
</table>
BAM-DLI-M-1a Treasury Master Data Maintenance - Debt

Process to create or maintain a Treasury Debt Master Records

**Outputs**

- (21) End

**Inputs**

- (1) Need to create a new TR Business Partner
- (2) Need to record new Bond Series
- (3) Business Partner Create Edit
- (4) Extend to TR Rules, Company Codes and enter authorization for Product Types
- (5) Verify that the record does not exist in SAP
- (6) Create / Upload Security Account
- (7) Variable or Fixed Debt?
- (8) Define Reference Interest Rate
- (9) Bond Level 1, 2 and 3 Security Upload
- (10) Agency
- (11) Bond Security and Custom Fields Updates (for all levels as needed)
- (12) Maintain Treasury Reporting Master Data Attributes
- (13) Agency
- (14) Credit Type
- (15) Fund Type
- (16) Insurance Detail
- (17) Program
- (18) Project
- (19) Rating Agency / Ratings
- (20) County Code

**Debt Master Data Administrator**

- E-Mail Request to create TR Business Partner
- (1) Need to create a new TR Business Partner
- (2) Need to record new Bond Series
- (3) Business Partner Create Edit

**Variables**

- Variable or Fixed Debt?
  - Variable
  - Fixed

**Notes**

- (21) End
BAM-DLI-M-2a Debt Processing – Bonds Issuance, Redemption (planned and unplanned), Servicing

Process to record debt issuance through bonds, redemptions (exercising calls or unplanned buy back) and Servicing

Inputs

1. New Debt Issue

Debt Specialist

2. Mirror or Non-Mirror Bonds?

3. Create Mirror Debt and Loan Financial Instrument simultaneously

4. Create Debt (Fixed or Variable) Instrument using excel upload utility

5. On Request to Approve Debt Instrument Review Cash and Position Flows

6. Cash and interest flows accurate?

7. Settle Financial Instrument

8. Review Position / Cash Flows

9. Cash and interest flows accurate?

10. Process Redemption (Not part of the current debt cash flow)

11. To BAM-DLI-M-1a Manage Debt Master Data

12. End

13. New Bond Issue or Redemption?

14. Bond Servicing letter to Trustees

15. Print Bond Redemption Notice Letter

16. Print Fund Transfer Letter to Trustee

17. Print No Bond Proceeds & Non Investments Letter

18. End

Outputs

Debt Manager

New Bond Issue

Treasury Reporting

Mirror or Non-Mirror Bonds?

Cash and interest flows accurate?

Settle Financial Instrument

Yes

Review Position / Cash Flows

Cash and interest flows accurate?

On Request to Approve Debt Instrument Review Cash and Position Flows

Mirror

No

Yes

Non Mirror

Yes

No

Yes

Non Mirror

Yes

Mirror

Yes

No

Yes

No

Yes

No

Yes

Cash and interest flows accurate?
# Order-to-Cash Loans (OTCL) Processes

<table>
<thead>
<tr>
<th>Process Flow Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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Date: 01/04/2020
## Procure-to-Pay (PTP) Process Flows

<table>
<thead>
<tr>
<th>Process Flow Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>PTP-FLOW-001 Commodity Procurement</td>
<td>Process to include those steps relevant for procuring commodity-based requirements</td>
</tr>
<tr>
<td>PTP-FLOW-002 Value Based Service Procurement</td>
<td>Process to include those steps relevant for procuring those service requirements that are value based</td>
</tr>
<tr>
<td>PTP-FLOW-003 Shopping Cart WF Approvals</td>
<td>Process steps showing Shopping Cart Workflow Approvals</td>
</tr>
<tr>
<td>PTP-FLOW-004 Purchase Order WF Approvals</td>
<td>Process steps showing Purchase Order Workflow Approvals</td>
</tr>
<tr>
<td>PTP-FLOW-005 Invoice Receipt Process</td>
<td>Process steps showing invoice Processing for Purchase Orders</td>
</tr>
<tr>
<td>PTP-FLOW-006 PO Closeout Process</td>
<td>Process steps for Purchase Order Closeout</td>
</tr>
<tr>
<td>PTP-FLOW-007 Contract Closeout Process</td>
<td>Process steps for Contract Closeout</td>
</tr>
</tbody>
</table>
PTP-FLOW-003 Shopping Cart Workflow Approvals

**SAP SC Workflow Configuration**

1. List of FACILITIES Product Categories / UNSPSC
2. Update SRM Table TVARV
3. SRM Organizational Structure
4. Create / Change Shopping Cart
5. Add Product Category (UNSPSC)
6. Add Account Assignments
7. Order Shopping Cart
8. SRM Custom Table ZPR_APPROVER
9. 1st Line UNSPSC in TVARV?
10. SRM Custom Table ZPR_APPROVER
11. Approve SC?
12. SRM Org Structure
13. Approve SC?
14. FM – SC Budget Posting

**SAP Automated / Integration Processes**

1. Update SRM Custom Table ZPR_APPROVER
2. Update SRM Table TVARV
3. Update SRM Custom Table ZPR_APPROVER
4. SRM Org Structure
5. FM Integration
PTP-FLOW-004 Purchase Order Workflow Approvals

1. List of FACILITIES Product Categories / UNSPSC
2. Update SRM Table TVARV
3. Update SRM Custom Table ZPR_APPROVER
4. Create / Change Purchase Order
5. Product Category (UNSPSC)
6. Account Assignments
7. Order Purchase Order
8. SRM Organizational Structure
9. Purchase Order Approval Process
10. Update SRM Custom Table ZPR_APPROVER
11. Approve PO?
12. 2nd Approver
13. Approve PO?
14. Approve PO?
15. FM - PO Budget Posting

Date: 01/04/2020
PTP-FLOW-005 Invoice Receipt Process

**Inputs**

- (1) PTP-PUR-006 Sourcing Cockpit Manual PO Creation
- (2) PTP-PUR-007 Sourcing Cockpit Contract Release Order
- (3) PTP-PUR-003 Process Goods Receipt
- (4) PTP-PUR-002 Return of Goods- Cancel Full Quantity
- (5) PTP-PUR-005b Return of Goods- Cancel Partial Quantity

**Accounts Payable Specialist**

- (6) Process Invoice Receipt(s)

**SAP Automated / Integration Processes**

- (7) GR Posted?
- (8) GR Qty Match IR?
- (9) IR Price Match PO?
- (10) IR Price Within Liv Tolerance
- (11) Post Invoice Receipt w/o Error
- (12) Financial Integration Posting

**Procurement Specialist**

- (13) Post Goods Receipt

**Requisitioner / Receiver**

- (14) Change Purchase Order
- (15) Is Revised Invoice Required from Vendor?
- (16) Receive Revised Invoice From Vendor
- (17) PTR Payment Processing

- (18) PTR Payment Processing

Date: 01/04/2020
PTP-FLOW-006 Purchase Order Closeout Process

**Inputs**

1. PTP-PUR-006 Sourcing Cockpit Manual PO Creation
2. PTP-PUR-007 Sourcing Cockpit Contract Release Order
3. PTP-PUR-030 Process Goods Receipt
4. PTP-PUR-030a Return of Goods Cancel Full Quantity
5. PTP-PUR-030b Return of Goods Cancel Partial Quantity
6. PTP-PUR-013 Process Invoice Receipt
7. PTP-PUR-xxx Process Payment

**Procurement Specialist**

- (8) Process PO Closeout
- (9) Closeout Program Validations:
  - All PO Lines Complete
  - PO Validity Period, if applicable, is passed
  - No Open Terminations
  - PO Final GR for each line item
  - PO Final IR for each line item
  - PO Payment is posted (clearing document exists) for each line item
- (10) All Validations Met?
- (11) Manual Step to Review Closeout Log to determine why PO Not Closed
- (12) Purchase Order Closed
- (13) GR Required?
- (14) Post Invoice Receipt
- (15) IR Required?
- (16) Final GR & IR Posted?
- (17) Process Payment

**SAP Automated / Integration Processes**

**AP Specialist**

- (16) Post Goods Receipt
- (18) Process Payment

**Requisitioner / Receiver**

- (14) Post Goods Receipt
PTP-FLOW-007 Contract Closeout Process

**Inputs**

- (1) PTP-PUR-036a Create Contract Manually
- (2) PTP-PUR-010 Contract Change Processing
- (3) PTP-PUR-007 Sourcing Cockpit Contract Release Order
- (4) PTP-PUR-010 Process Goods Receipt
- (5) PTP-PUR-013a Return of Goods-Cancel Full Quantity
- (6) PTP-PUR-013b Return of Goods-Cancel Partial Quantity
- (7) PTP-PUR-xxx Process Order Receipt
- (8) PTP-PUR-xxx Process Payment

**Contract Specialist**

- (9) Process Contract Closeout
  - Auto Closeout
- (12) Process Recommended Contract Closeout
  - Auto Closeout
- (20) Process Purchase Order Closeout
  - Auto Closeout

**SAP Automated / Integration Processes**

- (10) Closeout Program Validations:
  - All PO Lines Complete
  - PO Validity Period, if applicable, is passed
  - No Open Terminations
  - PO Final GR for each line item
  - PO Final IR for each line item
  - PO Payment is posted (clearing document exists) for each line item
- (13) Recommended Closeout Program Validations:
  - All PO Lines Complete
  - PO Validity Period, if applicable, is passed
  - PO's are closed at the header level (e.g., no open terminations)
  - PO Final GR and Final IR are posted
  - PO Final Payment is posted
  - Contract line item Target Quantity/Value is exhausted
  - Contract Validity Period is expired
  - No terminations/claims are open on the Contract
  - All Validations Met?

**SAP Automated / Integration Processes**

- (14) PTP-FLOW-006 PO Closeout Process
  - (15) All Validations Met?
    - Yes
      - (16) Manually Close Contract
        - (17) Manual Step to Review Closeout Log to determine why Contract Not Available for Closeout
        - (18) Contract Validity Period End?
          - No
            - (22) (20)/(22)/(24) Change/Update Contract
              - (23) Contract Value Exhausted
                - No
                  - (25) All Validations Met?
                    - No
                      - (26) Process Contract Closeout

**Recommended Closeout Contract Closeout**

- (11) Closeout Program Validations:
  - All PO Lines Complete
  - PO Validity Period, if applicable, is passed
  - No Open Terminations
  - PO Final GR for each line item
  - PO Final IR for each line item
  - PO Payment is posted (clearing document exists) for each line item
  - All Validations Met?
  - Yes
  - No

**Recommended Closeout Contract Closeout**

- (19) Release Orders Closed?
  - No
  - (21) Contract Validity Period End?
    - No
    - (20) Contract Value Exhausted
# Plan-to-Report (PTR) Process Flows

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This process is to create a General Ledger Account.

**Inputs**

1. From Business Operations - Triggers a Need for a General Ledger Account
2. Gather Supporting Documentation to Prepare a New General Ledger Account
3. Balance Sheet or Income Account?
4. Manage G/L Account Master Data F0731
5. Auto. Creation of Commitment Item FMMDAUTO
6. Commitment Item 360 degree View
7. Emphasis Relevant?
8. Crosswalk: Maintain Emphasis G/L Account
9. Cash or Non-Cash Account
10. Manage G/L Account Master Data
11. BAM Banking Data Worksheet
12. Crosswalk: Cash Balance
13. Update Bank Configuration SPRO I - 2
14. Update Financial Statement Version (FSV) FSE2
15. G/L Accounts List S_ALR_87012333
16. G/L Accounts List
17. End

**Process Flow**

1. [From Business Operations - Triggers a Need for a General Ledger Account]
2. Gather Supporting Documentation to Prepare a New General Ledger Account
3. Balance Sheet or Income Account?
4. Manage G/L Account Master Data F0731
5. Auto. Creation of Commitment Item FMMDAUTO
6. Commitment Item 360 degree View
7. Emphasis Relevant?
8. Crosswalk: Maintain Emphasis G/L Account
9. Cash or Non-Cash Account
10. Manage G/L Account Master Data
11. BAM Banking Data Worksheet
12. Crosswalk: Cash Balance
13. Update Bank Configuration SPRO I - 2
14. Update Financial Statement Version (FSV) FSE2
15. G/L Accounts List S_ALR_87012333
16. G/L Accounts List
17. End

**Emphasis Relevant?**

- **Yes**
  - Crosswalk: Maintain Emphasis G/L Account
- **No**
  - Commitment Item 360 degree View
  - Emphasis Relevant?
This process is to create CO Objects.

**Inputs**
- [1] From Business Operations – Triggers a Need For A CO Object

**FIM/MDA Administrator**
- [2] Gather Supporting Documentation to Prepare a new CO Object
- [3] Create Business Area
- [6] Create Profit Center
- [7] Functional Area 360 degree View
- [8] Maintain Segment
- [12] Manage Internal orders
- [13] Manage Profit Centers
- [15] Is a new Fund required?
- [16] Create Fund Master Data
- [17] Fund 360 degree View
- [18] Crosswalk: FI Legacy Fund
- [19] Crosswalk: Cash Balance
- [20] Auto Creation of Funds Center
- [21] Funds Center 360 degree View
- [22] Can the new CC be assigned to an existing Functional Area?
- [23] Create Business Area
- [24] Can the new CC be assigned to an existing Cost Center?
- [25] Create Functional Area Master Data
- [26] Functional Area 360 degree View
- [27] Maintain Segment
- [28] Is a new Segment required?
- [29] Maintain Segment
- [30] Manage Profit Centers
- [31] Manage Internal orders
- [32] Manage Cost Centers
- [33] Create Internal Order
- [34] Is a new Fund required?
- [35] Create Fund Master Data
- [36] Crosswalk: FI Legacy Fund
- [37] Crosswalk: Cash Balance
- [38] Auto Creation of Funds Center
- [39] Funds Center 360 degree View
- [40] End

**Outputs**
- [1] Manage CO Objects (Cost Center & Internal Order)

**Steps**
1. Gather Supporting Documentation to Prepare a new CO Object
2. Create Business Area
3. Create Business Area or Internal Order
4. Gather Supporting Documentation to Prepare a new CO Object
5. Can the new CC be assigned to an existing Cost Center?
6. Create Profit Center
7. Create Functional Area Master Data
8. Maintain Segment
9. Can the new CC be assigned to an existing Profit Center?
10. Create Profit Center
11. Is a new Segment required?
12. Maintain Segment
13. Manage Profit Centers
14. Manage Internal orders
15. Is a new Fund required?
16. Create Fund Master Data
17. Fund 360 degree View
18. Crosswalk: FI Legacy Fund
19. Crosswalk: Cash Balance
20. Auto Creation of Funds Center
21. Funds Center 360 degree View
22. Can the new CC be assigned to an existing Functional Area?
23. Create Business Area
24. Can the new CC be assigned to an existing Cost Center?
25. Create Functional Area Master Data
26. Functional Area 360 degree View
27. Maintain Segment
28. Is a new Segment required?
29. Maintain Segment
30. Manage Profit Centers
31. Manage Internal orders
32. Manage Cost Centers
33. Create Internal Order
34. Is a new Fund required?
35. Create Fund Master Data
36. Crosswalk: FI Legacy Fund
37. Crosswalk: Cash Balance
38. Auto Creation of Funds Center
39. Funds Center 360 degree View
40. End
This process is to maintain Business Partners.

1. From Business Operations - Triggers A Need for A New/Change Employee Business Partner
   - Create & Change Business Partner Master
   - BP Role: Business Partner
   - BP Role: Business Partner Purchasing
   - (1) Business Partner List Report

2. From Business Operations - Triggers A Need for A New/Change Non-SRM Business Partner
   - Create & Change Business Partner Master
   - BP Role: Business Partner
   - BP Role: Business Partner Purchasing
   - (1) Business Partner List Report

3. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
   - Create & Change Business Partner Master
   - BP Role: Business Partner
   - BP Role: Business Partner Purchasing
   - (1) Business Partner List Report

4. From Business Operations - Triggers A Need for A New/Change Escrow Business Partner
   - Create & Change Business Partner Master
   - BP Role: Business Partner
   - BP Role: Business Partner Purchasing
   - (1) Business Partner List Report

5. From Business Operations - Triggers A Need for A New/Change Non-SRM Business Partner
   - Create & Change Business Partner Master
   - BP Role: Business Partner
   - BP Role: Business Partner Purchasing
   - (1) Business Partner List Report

6. From Business Operations - Triggers A Need for A New/Change Non-SRM Business Partner
   - Create & Change Business Partner Master
   - BP Role: Business Partner
   - BP Role: Business Partner Purchasing
   - (1) Business Partner List Report

7. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
   - Create & Change Business Partner Master
   - BP Role: Business Partner
   - BP Role: Business Partner Purchasing
   - (1) Business Partner List Report

8. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
   - Create & Change Business Partner Master
   - BP Role: Business Partner
   - BP Role: Business Partner Purchasing
   - (1) Business Partner List Report

9. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
   - Create & Change Business Partner Master
   - BP Role: Business Partner
   - BP Role: Business Partner Purchasing
   - (1) Business Partner List Report

10. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report

11. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report

12. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report

13. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report

14. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report

15. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report

16. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report

17. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report

18. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report

19. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report

20. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report

21. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report

22. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report

23. From Business Operations - Triggers A Need for A New/Change SRM Business Partner
    - Create & Change Business Partner Master
    - BP Role: Business Partner
    - BP Role: Business Partner Purchasing
    - (1) Business Partner List Report
This process is to create an accounts payable postings and outgoing payments.

**Inputs**
- From Business Operations - Triggers A Need For A Direct Invoice (Repetitive)

**Escrow Specialist**
- Create a direct invoice as a park document
- Change parked invoice document
- Display direct invoice document
- Display direct invoice transaction
- Create a direct invoice transaction
- Display an existing recurring invoice document
- Display an existing recurring invoice transaction
- Display a newly created recurring invoice document
- Display a newly created recurring invoice transaction
- Display a newly created direct invoice document
- Display a newly created direct invoice transaction
- Create or select an existing recurring invoice document
- Display recurring invoice document
- Post recurring invoice document
- Display posted invoice
- Display vendor line item report

**AP Specialist**
- Create or select an existing recurring invoice document
- Display recurring invoice document (FBD1)
- Display direct invoice document (FB03)
- Display posted invoice (FB03)
- Display vendor line item report (FBL1N)

**AP Manager**
- Is the payment related to Escrow?
  - Yes: Display escrow invoice document
  - No: Display direct invoice document
- Payment Method - Check (FB60)
- Display direct invoice document
- Display posted invoice
- Display vendor line item report
- Display escrow invoice document
- Display direct invoice document
- Display posted invoice
- Display vendor line item report

**Cost Center Manager**
- Vendor Invoice Workflow - Direct Pay
  - Approve or Reject Invoice (F0454A)

**Warrant Approver 1**
- Vendor Invoice Workflow - Direct Pay
  - Approve or Reject Invoice (F0454A)

**Warrant Approver 2**
- Vendor Invoice Workflow - Direct Pay
  - Approve or Reject Invoice (F0454A)

**Outputs**
- Display escrow invoice document
- Display direct invoice document
- Display posted invoice
- Display vendor line item report
- Display email notification

---

**Date:** 01/04/2020
This process is to park or post a journal entry.

Inputs

1. From Business Operations - Triggers A Need For A Journal Entry
   - Park
   - Manual or Excel Upload Journal Entry?
     - Park
     - Post
   - Park G/L Document
     - Budget exceeded?
     - Display Parked Document
     - Is the Parked G/L Document correct?
     - Changed Parked Document
     - Budget Adjusted
     - Post Parked Document?
     - Post Parked Document
     - Budget Adjusted
     - Display Posted Document
     - Is the Posted G/L Document correct?
     - Budget Adjusted
     - Display Packed Document
     - Budget Adjusted

2. From Business Operations - ADP Interface ERP-OUT-0011
   - From Business Operations - Emphasys Interface ERP-INB-0001

General Ledger Accountant

This process is to park or post a journal entry.
This process is to create or post recurring document.

1. From Business Operations - Triggers a Need for a Recurring Document

   No → [7] Change or Post Existing Recurring Document

   No → [8] Change Recurring Document

4. Display Recurring Document

5. Post Recurring Document?


7. Change or Post Existing Recurring Document

8. Change Recurring Document

9. Post Recurring Document

10. Batch Input: Session Overview

11. Budget exceeded?

12. Display Posted Recurring Document

13. BW – Trial Balance

14. End