

Financial Transaction SOP: Financial Processing, Pre-Encumbrance (PE)

SOP Owner: Financial Processing Manager Version Number, Date Revised: #2, 09/10/14

Standard Operating Procedure

1. Purpose

The Pre-Encumbrance (PE) e-doc is used to add local encumbrances instead of relying on information in an outside system. Fiscal officers can use these transactions to earmark funds for which unofficial commitments have been made. The e-doc can also be used to disencumber open encumbrances created with the PE e-doc. There are two ways to reduce a PE: by processing a disencumbrance or by entering a reversal date. A PE does not reduce based on another transaction (e.g., a Purchase Order reduces as Purchase Order invoices are processed). **Note:** Do not use a PE doc to disencumber a PO encumbrance balance.

There are three types of commitments:

- External encumbrance; example: PO (contract)
- Internal encumbrance; example: labor (salary / wages)
- Pre-encumbrances; PE e-doc uses

Examples of expected common use of the PE e-doc include:

- local commitments for summer salary (faculty and grad students),
- local commitments for planned travel expenses, and
- local commitments for planned purchase orders where contracts have not yet been approved, and
- funding commitments to other departments.





2. <u>Procedure</u>

Transactions	
Financial Processing	
 <u>Advance Deposit</u> 	
 <u>Auxiliary Voucher</u> 	
 <u>Budget Adjustment</u> 	
 <u>Cash Receipt</u> 	
 <u>Credit Card Receipt</u> 	
 <u>Disbursement Voucher</u> 	
 Distribution of Income and Exper 	<u>ise</u>
 General Error Correction 	
 Indirect Cost Adjustment 	
 Internal Billing 	Due Frankrikeren en der is laasted
Pre-Encumbrance	Pre-Encumbrance e-aoc is located
Iranster of Funds	on KFS Main Menu: Transactions.

Figure 1- KFS Financial Processing Transactions menu

In addition to the standard financial transaction tabs, a PE document has its own unique tab, called: Pre-Encumbrance Details.





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Figure 2 – *Pre-Encumbrance e-doc*

Business Rules

- There must be at least one accounting line in the e-doc.
- Unlike other e-docs with more than one side, there is no relationship between the Encumbrance and Disencumbrance sections of accounting lines; hence, there are no totals in the Accounting Lines tab of the e-doc.
- Expense object codes or transfer "out" object codes are allowed on this e-doc. Effective October 2014, income type object codes are allowed. (Allowability of object code is controlled by a parameter.)
- Negative amounts are not allowed. Encumbrances and disencumbrances are both recorded as positive amounts.
- KFS automatically generates offset entries, as defined by information entered in the e-doc.
- When disencumbering, identify the e-doc reference number of the original preencumbrance that was processed. Note: Reference Number field is required, but is not validated.





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Figure 3 – Pre-Encumbrance example

Pre-Encumbrance Details Tab

The Pre-Encumbrance Details tab contains an optional Reversal Date field date. When entering an encumbrance, a reversal date may be entered to indicate when the system should automatically reverse the encumbrance. This date must be a future date; it cannot be earlier than the current date.



Figure 4 – Reversal Date field

Field Name	Description (* indicates a required field)
Reversal Date	Optional. Enter the date when the system should automatically reverse the encumbrance. The date <u>must</u> not be earlier than the current date.







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Figure 5 – Automatic reversal example

To initiate a PE e-doc:

Complete the common financial transaction tabs.

Complete the Accounting Lines tab as follows:

- Entering information into the Encumbrance section, Disencumbrance section, or both.
 - *Encumbrance Section:* Accounting lines entered on the Encumbrance side of the e-doc generate new encumbrances on the specified accounts.
 - *Disencumbrance Section:* Accounting lines entered on the Disencumbrance section of the e-doc reverse existing encumbrances on the specified accounts.
- Lines on the Disencumbrance section require a Ref Number that identifies the e-doc number of the previous pre-encumbrance that needs to be removed. Reference number should be the number of the original pre-encumbrance.
- Complete the Pre-Encumbrance Details tab.
- Submit

Note: you can encumber and disencumber different / multiple transactions on the same e-doc by adding accounting lines.





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Figure 6 – Multiple Instruction example

Training Issues:

- A PE on a C&G account will continue into the next fiscal year; a PE for a non-C&G account does not carry forward. As a workaround: in the new year, copy the preencumbrances that you still need but did not get carried forward.
- Encumbrances entered on a PE document without a reversal date must be reversed manually by processing another PE document and entering one or more accounting lines in the Disencumbrance section of the document. Until manually reversed, the pre-encumbrance will remain on the account.
- If you process a PE and schedule a reversal date, but then **manually** disencumber, you will have to process another encumbrance e-doc (i.e., a PE) in order to correct the balance.
- You can schedule multiple disencumbrances on the same e-doc based on fixed schedules. Each of the schedules is associated with a **single** pre-encumbrance, but you can have multiple encumbrances on a doc, each with its own disencumbrance schedule.
- You must save the e-doc before submission to generate the multiple reversal dates.
- You can review the scheduled reversal dates through the details presented in the General Ledger Pending Entries tab before submitting or approving the e-doc.





- Required input fields include the **Auto DisEncumber Type** you are using, the **Start Date** of the schedule, the **Count**, and the **Partial Amount** per disencumbrance
- Fixed Schedule Options:
 - Monthly same calendar day each month
 - Semimonthly- follows semimonthly payroll dates
 - The recommended start date is the 15th or the last day of a month.
 Caution: If you set the start date as July 5, the semimonthly schedule will schedule a disencumbrance on July 5, July 15, and July 31, etc.
 - o Biweekly every 14 days from the start date
 - **One time** specified date

Example of a saved PE e-doc with multiple instructions:

Best Practice recommendation: for C&G accounts, encumbrances should be reviewed monthly; for all other accounts, encumbrances should be reviewed quarterly.

Workflow



Figure 6 – Pre-Encumbrance workflow





3. <u>Definitions</u>

- KFS at CU: Chart of Accounts
- KFS at Cornell Glossary
- Old World / New World, Definitions, Helpful Information

4. <u>References</u>

- KFS "Basics" tutorials
- KFS "FP: Pre-Encumbrance" tutorial

