

# INCOMPLETE DOCUMENT MANAGEMENT

An incomplete document is any started Banner document not yet approved in the system. Many situations can cause incomplete documents, including workflow processes (such as TEM, sensitive items, etc.), NSF flags, Banner client crashes, and user errors.

The most common incomplete document results from a user who begins to input a transaction but does not, for the reasons noted above, follow the transaction through to completion. If the user does not know the document number, such as when a number is system generated (call numbers, requisitions, receiving, journal vouchers, etc.), it can be difficult to retrieve this document number. Often, the easiest solution for the user is to generate a new document number and move on.

Unfortunately, this can cause problems if there were dollars attached to the incomplete document, as these documents will encumber funds against the budget's available balance (BAVL) within the budget control org (see Budget Control Management), which may result in a non-sufficient fund situation with a given budget control's budget pooling account. To compound this issue, a script automatically deletes incomplete call numbers and requisitions from the system seventeen days after the last activity date associated with the document. When the script deletes documents in this way, the system does not release the BAVL encumbrance, and there is no way for a user to release such a budget encumbrance for the remainder of the fiscal year.

It is therefore essential to monitor incomplete documents and delete or complete them as appropriate on a weekly (or bi-weekly) basis. In order to accomplish this, three tools are available:

## **VISTA PLUS**

The first tool is the Incomplete Document Listing processed every Saturday and posted on Vista Plus ([reports.alaska.edu](http://reports.alaska.edu)). This report sorts the results by user and then by document type (with only one user ID and document type per page). As such, it is generally over 100 pages long, and users can only search it by Banner User ID. If you know the potential user IDs associated with your unit, this is a comprehensive tool to use.

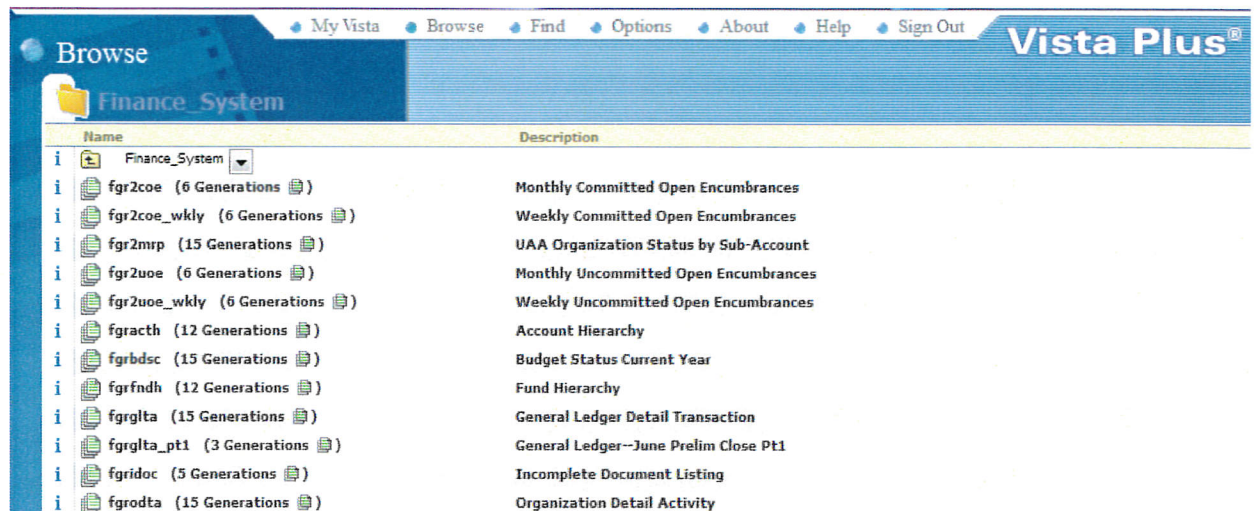


Figure 1 - Incomplete Document Listing on Vista Plus. Vista Plus is available through your web browser at [reports.alaska.edu](http://reports.alaska.edu). More information about Vista Plus and how to use it is available at: <http://www.alaska.edu/financial-systems/vista-plus/>

## INCOMPLETE DOCUMENT QUERIES

The second tool is a series of Toad queries attached to this document that will pull a list of all incomplete call numbers, general encumbrances, receiving documents, and requisitions in four separate queries. Users can target those documents associated with a specific org or org rollup, or run to include all org numbers for a comprehensive list by document number and User ID. At this time, this tool does not include results for incomplete journal vouchers or TEM documents.

To run these queries, open them up (together or individually) within Toad and click on the "execute SQL" button near the bottom of your screen.

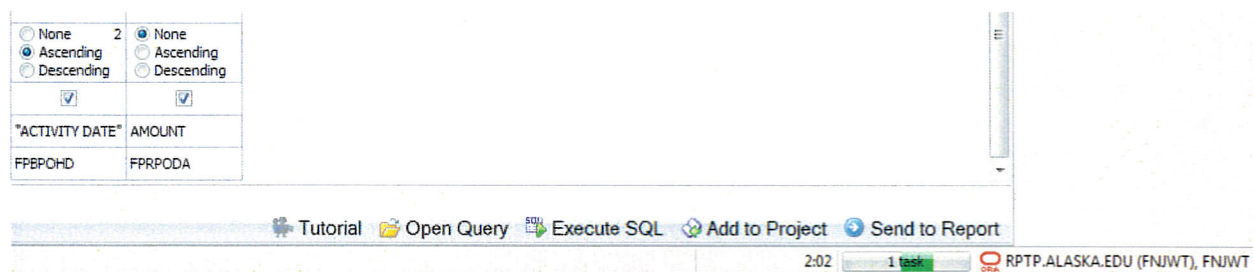


Figure 2 - Toad at lower right corner of typical display, showing the "Execute SQL" button.

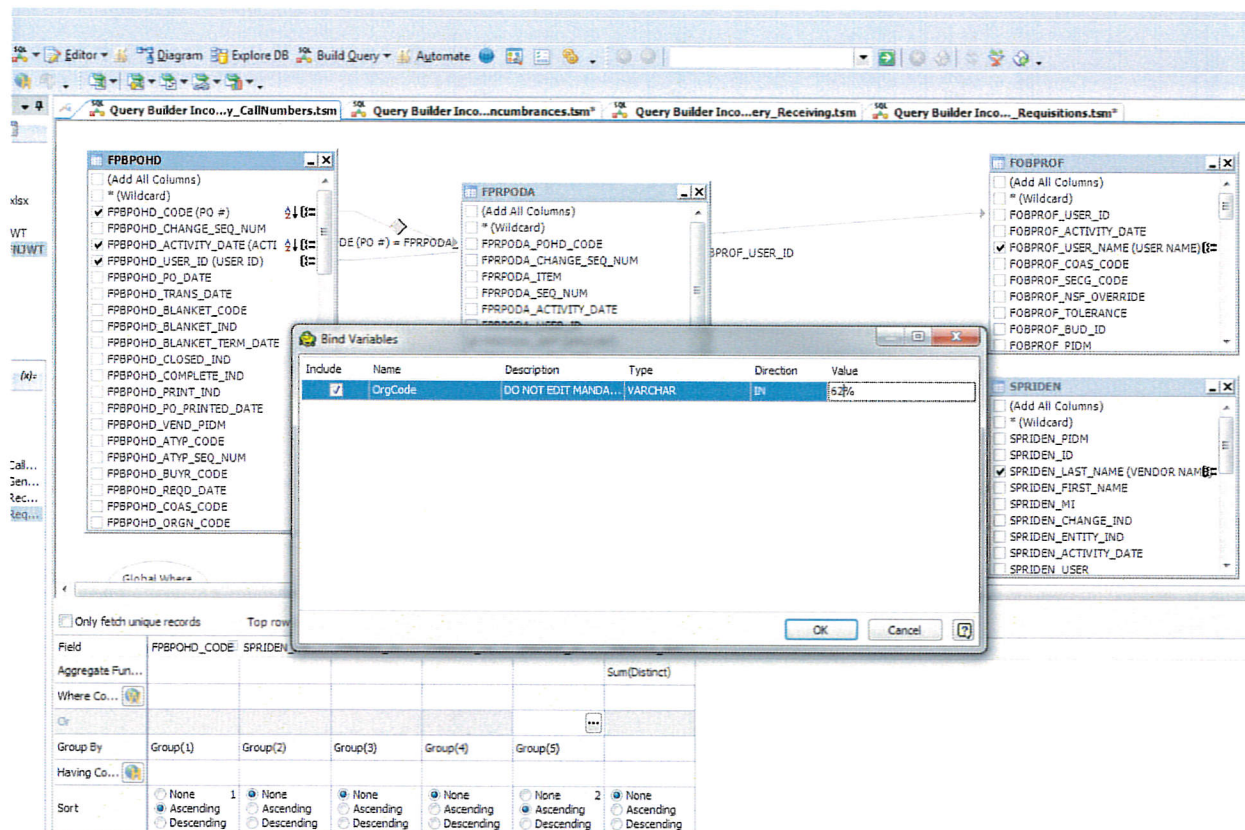


Figure 3 - Toad screen after executing query. Note the "Bind Variables" window that pops up in the middle of the screen. Enter a value as indicated in the text below and press "OK" to continue.

On the queries that include accounting, a "bind variables" window will pop up after executing the query. Here you may enter a value, such as a single org code, a range such as the "62%" shown above, a rollout level org (such as the unit code '62SFOS'), or enter "%" to bring up a list of all documents. This list is not generally long, running at about 100 documents at most, so try multiple variable bindings to get the most complete data set for your needs.

Once the query returns a data set,

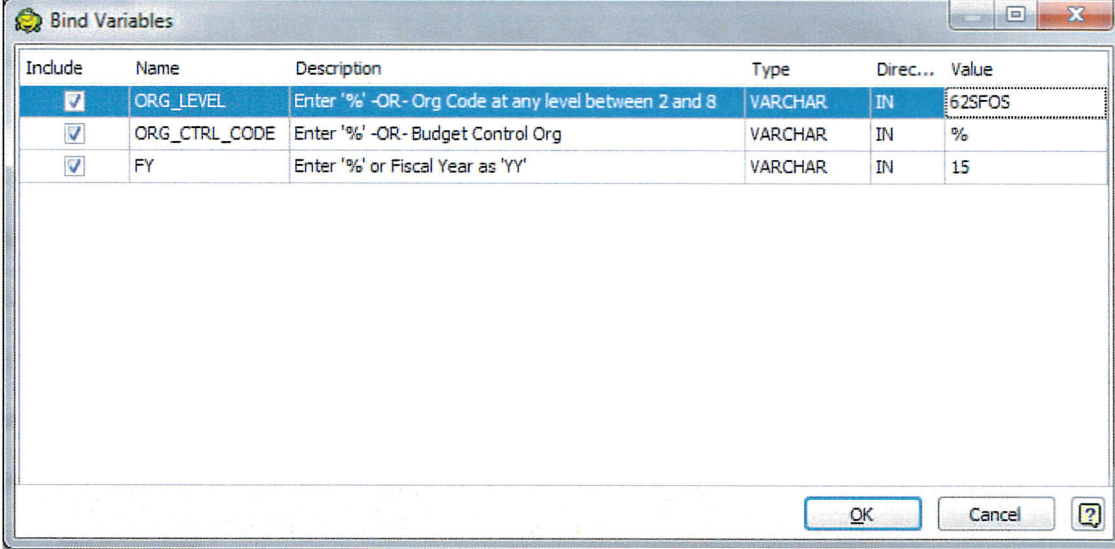
### **SCRIPT-DELETED AND INCOMPLETE TEM DOCUMENTS**

The third tool is also a Toad query, called "Stranded-Deletes," and users run it in the same manner as those above. This query pulls against the FGRBAKO table and stores all incomplete documents that create an encumbrance against BAVL. These include documents on the Incomplete Document queries, but also show any documents deleted by the script process (e.g., stranded incompletes) and TEM documents that are not in "approved" status. Therefore, while this query does show documents also included in the query results of the second tool, it does not include activity date or user ID information.

Managers should review and act on TEM documents immediately. TEM documents on this report include those held up due to NSF flags or improperly created expense reports, and, unlike other incomplete documents, they will not clear in a new fiscal year. For more help on deleting these documents through TEM, please contact UAF Travel personnel at [uaf-ofa-travel@alaska.edu](mailto:uaf-ofa-travel@alaska.edu).



The intent of the tool is to provide financial managers with a mechanism to reconcile FGIBDSR and FGIBAVL results fully. ***In many cases, the results of this query will include documents that the manager is unable to remove from Banner.***



Include	Name	Description	Type	Dirac...	Value
<input checked="" type="checkbox"/>	ORG_LEVEL	Enter '%' -OR- Org Code at any level between 2 and 8	VARCHAR	IN	62SFOS
<input checked="" type="checkbox"/>	ORG_CTRL_CODE	Enter '%' -OR- Budget Control Org	VARCHAR	IN	%
<input checked="" type="checkbox"/>	FY	Enter '%' or Fiscal Year as 'YY'	VARCHAR	IN	15

OK Cancel ?

Figure 4 - Example of bound variables in the Stranded-Deletes query. Users can search for documents through the accounting structure or using a specific budget control org.

### **COMPETING THE CLEAN-UP**

Review the lists of results to find those documents of interest to you, determine why they are in incomplete status, and have the user either delete the records or complete them. If the document must remain in incomplete status, the deletion timer (17 days) resets when you update the activity date associated with the record. You may accomplish this task by entering the document and making a revision (such as updating the document text to indicate the hold-up with completing it).

Should you need to delete documents, you can quickly accomplish the task by accessing the document through FPA2PUR for Call Numbers, FGAENCB for General Encumbrances, FPARCVD for Receiving documents, and FPAREQN for Requisitions. Enter the document number, next block (CTRL PGDN), press "SHIFT-F6," and then press "SHIFT-F6" a second time.

That's it! Your incomplete document is gone and the process releases the encumbrance against BAVL.

Finally, if the document is incomplete because BAVL is in NSF (non-sufficient funds) status, you cannot perform any further clean up or budget revision steps, and you must complete it, submit an NSF Override Form through the OFA website. To prevent delays in the review/approval process, please include all relevant information as to the nature of the NSF status in the justification section of the form.

***The Office of Finance & Accounting will only approve NSF requests that meet the requirements included on the NSF Override Request form site. OFA and OGCA (for restricted funds) grant overrides at their sole discretion.***