Budget Revision System

Comprehensive User's Guide

TEXAS TECH
UNIVERSITY

Table of Contents

System Overview

The Budget Revision System in an online application which provides users the ability to submit revisions to Texas Tech's operating budget electronically.

This system was designed to provide automated routing for required approvals and an online index of in-process and approved documents. Built-in edits and controls are in place to ensure each document is processed accurately and according to all internal policies.

The URL for the Budget Revision System (BRS) is: **http://budgetrevision.texastech.edu/**

(Also available via the 'Budget' channel on the A&F Work Tools tab in Raiderlink)

This system has been separated into four distinct types of revision requests:

Option 1: Adjust Expense Budget Within a Fund
This replaces "Ambuds" and movement between multiple organizations and/or programs.

Option 2: Budget of Fund Balance
Carry-forward funds from a prior FY.

Option 3: Budget of Revenue
Establish/Increase/Decrease projected revenue.

Option 4: Transfer Between FOPs
Transfer budget from one fund to another. (Can include budgeting from fund balance and/or revenue.)

The BRS works in tandem with the Approval Tracking System (ATS) to route each submitted request electronically to each approval level. Each time a document is a pending approval, an e-mail notice is sent to all approvers alerting them of the pending transaction. Once all approvals have been obtained, the document is sent to a 'queue' for posting to the system. Every fifteen minutes (during normal business hours) documents are swept from the queue and posted to the finance ledgers in Banner. Updated budget totals are available immediately after the document has posted, via the 'Available Budget Tab' in Raiderlink. These adjustments will also be visible after the nightly update of all Cognos Reports.

Access/Security & E-Mail Preferences

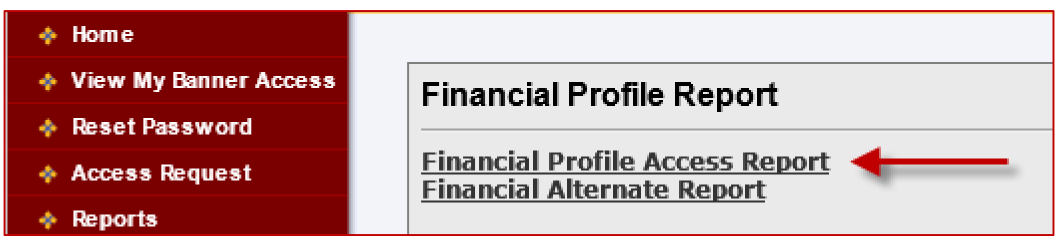
Access to originate a document in the Budget Revision System is available to any employee with a valid eRaider account.

Verifying employee(s) for Financial (Organization) Manager level of Approval

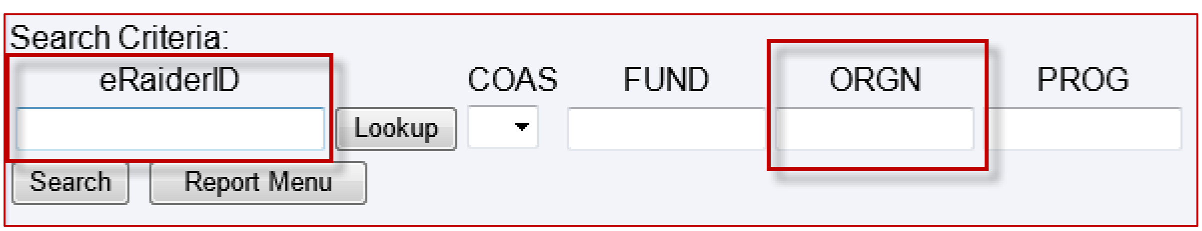
Financial (Organization) Manager approval is one the required levels of approval for most requests. All financial managers (and their alternates) should verify their security via the TeamApp. This security is the same that is currently being used by TechBuy and other financial applications.

The URL for TeamApp is: **http://team.texastech.edu**

To view the current financial manager (or alternate) for an Organization, use the 'Reports' link and click on 'Financial Profile Access Report' (*These links are only visible for current Financial (orgn) Managers).

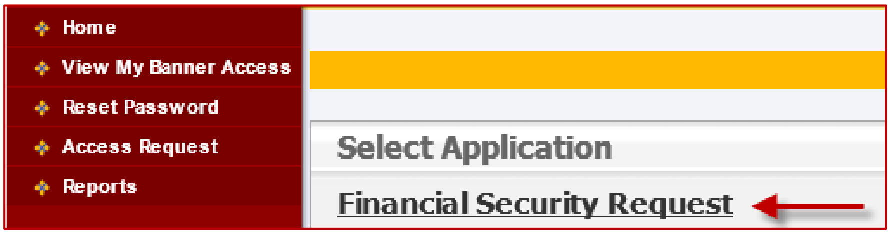


This will allow you to search by eRaider ID or Organization code. **All employees listed as Financial Manager or Approver for a particular Orgn will have access to approve a document in the Budget Revision System on behalf of the Organization.**



Adding alternates(s) for Financial (Organization) Manager level of Approval

Use the 'Access Request' link to add or remove organization security for an employee.



All available organizations to the employee logging in will be displayed. Use the arrows to add each Orgn where the employee should have approval authority, before clicking 'Submit' to process the security update.

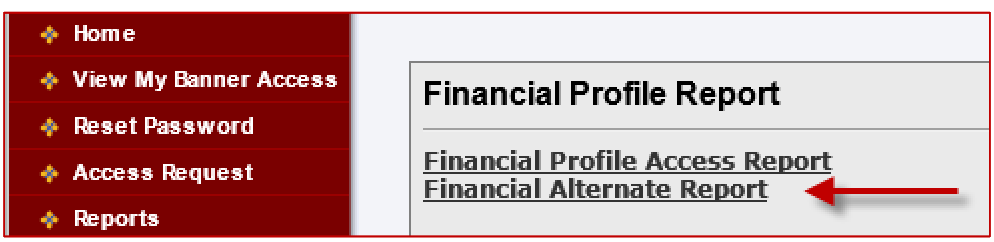
*Any update to the Financial Manager for an Orgn should be made by submitting a 'Financial Manager Form' to the Financial Services & Tax office.

Verifying or updating employee(s) for Fund Manager level of Approval

Fund Manager approval is one the required levels of approval for budget requests involving fund balance.

The Team Application is also used to assign or update the alternates who should have approval authority on behalf of the Fund Manager.

Use the 'Financial Alternates Report' link to view the current Fund Manager (and alternates) for a Fund.



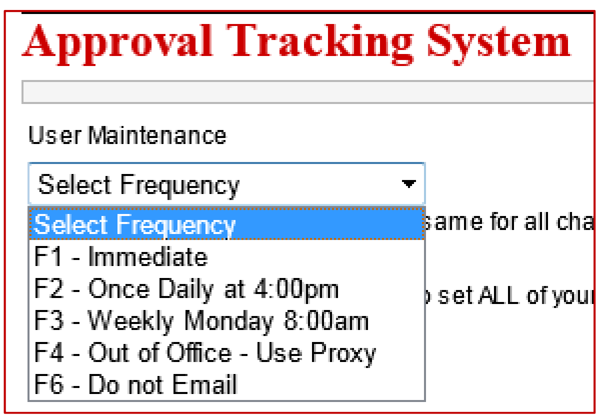
Use the 'Access Request' link to add or update the current alternates for the Fund Manger level of approval. (This process mirrors that of updating the Orgn manager approver(s) above)

*Any update to the Fund Manager for an Orgn should be made by submitting a request to the Financial Services & Tax office.

Setting E-Mail Frequency Preferences

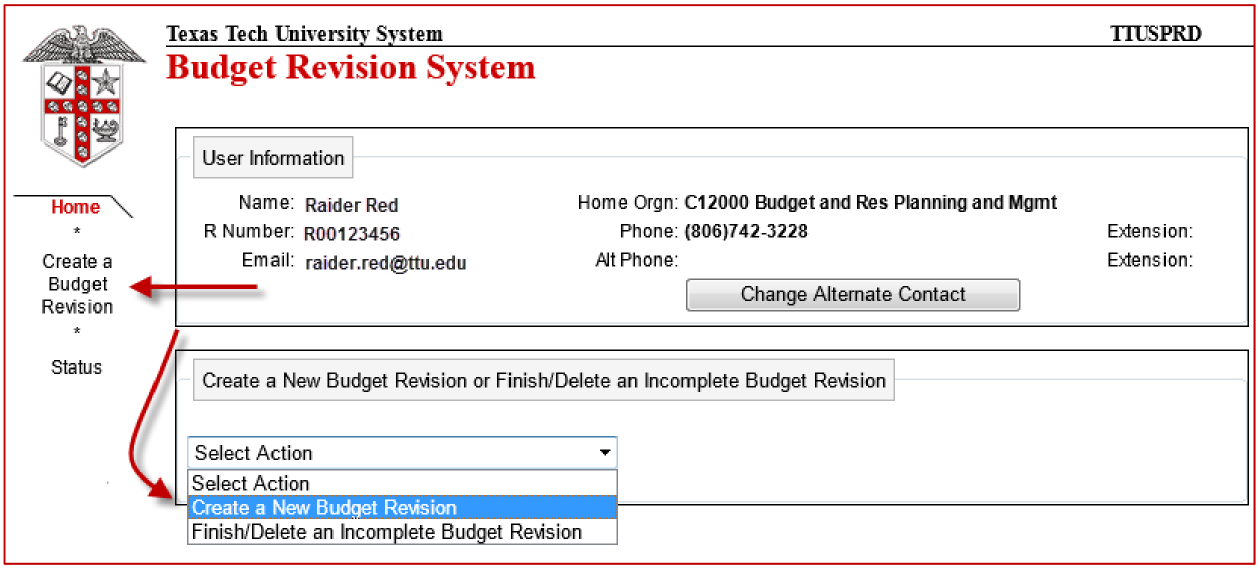
An e-mail notification is sent to the first level of approval each time a budget revision is submitted, notifying them of the pending document in the Approval Tracking System. Each time the document is sent to an additional level of approval, the new approver(s) is also notified.

The Approval Tracking System gives users the ability to specify how often these notifications are sent. Each employee who will be responsible for approving documents should use the 'User Maintenance' link in ATS to adjust their preference. See below for the frequency options:



*An e-mail notification is also sent to the document originator after a document has been posted to Banner. The email includes the BR number (from the BRS) and the Banner document ID used to post the document to the finance ledgers (All documents will begin with "BT"). For all transfer (Option 4) revisions, a separate e-mail is sent to provide the cash transfer's Banner document ID. (These e-mails will automatically be sent each time a document is posted; therefore, they do not follow the e-mail preferences described above.)

Creating a New Budget Revision



Before inputting the requested changes to the budget, three parameters must be chosen:

- Choosing the appropriate **Chart of Accounts** for the revision.
- Choosing whether the revision request is a **Permanent or Temporary** change to the budget.
  - 'Permanent' should only be chosen when the requested revision is a change to the permanent budget for all future fiscal years. (Changes are reflected in Budget Prep)
- Choosing one of the four available **Budget Revision Types** available in the system.

*A "validation date" is displayed, which indicates the current date that the document is using to verify all data on the revision request.

Option 1 – Adjusting Expense Budget within One Fund

This revision type allows adjustments to the expense budget of one fund. The following types of revisions can be accomplished using this revision type:

- Movement between account codes (budget pools) in one FOP (formerly an 'ambud' request)
- Movement between multiple organizations codes within the same fund.

- Movement between multiple program codes within the same fund.
- Any combination of the three above.

Once the initial three parameters have been chosen, '**Fund Entry**' and '**Expense Account Entry**' sections become visible. Enter the Fund code associated with budget revision request you are submitting, and click 'Next' (or *Tab*). (If the Fund is a grant, additional grant information is displayed below the fund entry section.)

A '**Change Fund**' button is available at any time before the revision is submitted to approvals. This allows for using a different Fund Code than originally chosen.

After the fund has been chosen, the remainder of the FOAP information can added line by line. The example below is moving funds between two expense codes in the same FOP:

Fund Code	ORGN Code	Orgn Code Description	Program Code	Account Code	Account Code Description	Current Budget Amount	Budget Available Balance	Amount	Plus Minus	
18C000	C12000	Department A	600	6Z0	Budget Code Unallocated Salary 06	5,702.49	163,781.87	50.00	-	Edit
18C000	C12000	Department A	600	7Z6	Budget Code Unallocated Exp 99	0.00	163,781.87	50.00	+	Edit
									Select	Add Clear

All increases and decreases must balance. To monitor whether a document balances, a '**Document Total**' keeps a running total of the document balance. Document Total must equal 0.00 before a revision can be submitted.

For each Expense Acct entry made, both a '**Current Budget Amount**' and '**Budget Available Balance**' are displayed. The Current Budget Amount shows the amount that is currently budgeted for that particular account code. If reducing an account, the reduction cannot exceed the Current Budget Amount. The Budget Available Balance indicates the current budget less expenditures & encumbrances. The amount displayed follows the budget controls in place for the fund (either FOP for FOAP controlled).

All comments and attachments should be loaded to the revision to support the revision request.

After all expense account adjustments have been entered, use the 'Start Approvals' button to display the required approvals before submitting the revision.

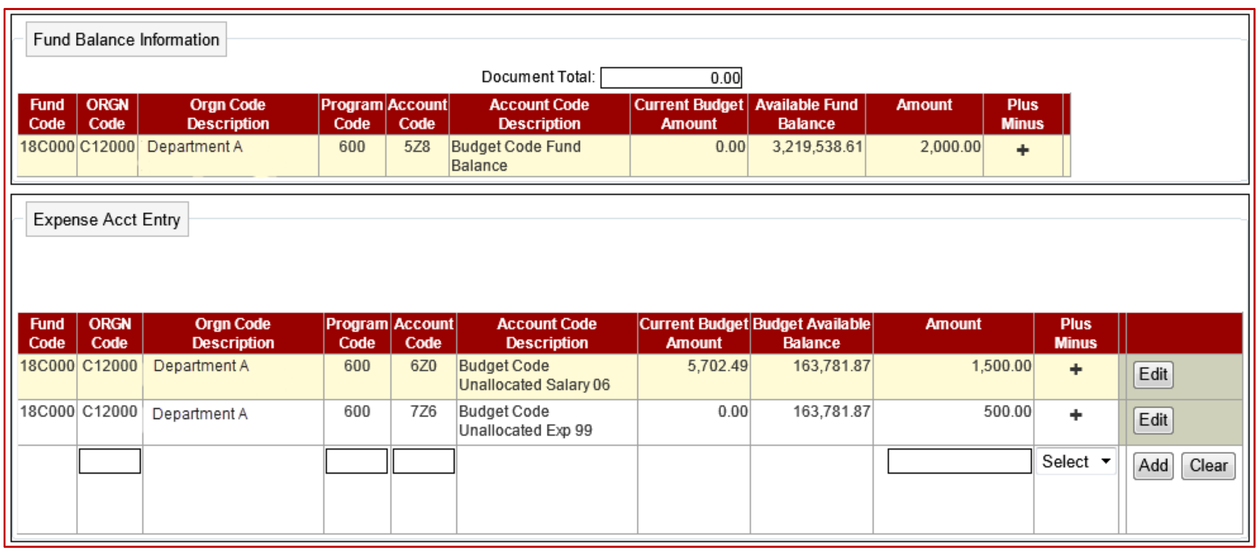
Option 2 – Budget of Fund Balance

This revision type allows for budgeting unspent funds from a prior fiscal year, also known as "carrying forward fund balance".

Once the initial three parameters have been chosen, '**Fund Entry**' and '**Expense Account Entry**' sections become visible. Enter the Fund code associated with the budget revision request you are submitting, and click 'Next' (or *Tab*). (If the Fund is a grant, additional grant information is displayed below.)

A '**Change Fund**' button is available at any time before the revision is submitted to approvals. This allows for using a different Fund Code than originally chosen.

After the fund has been chosen, the remainder of the FOAP information can be added line by line. The Expense Acct Entry section allows you to input the budget pools that you are adjusting, along with the amount(s). Once you begin the entry of expense adjustments, a '**Fund Balance Information**' section becomes visible. This section pre-populates the '5Z8' budget pool associated with budgeting fund balance, and auto-balances to the total expense adjustments you have entered. The example below is carrying forward a total of 2,000 from fund balance, and adding a matching budget of 2,000 in expenses:



Fund Balance Information

Document Total: 0.00

Fund Code	ORGN Code	Orgn Code Description	Program Code	Account Code	Account Code Description	Current Budget Amount	Available Fund Balance	Amount	Plus Minus
18C000	C12000	Department A	600	5Z8	Budget Code Fund Balance	0.00	3,219,538.61	2,000.00	+

Expense Acct Entry

Fund Code	ORGN Code	Orgn Code Description	Program Code	Account Code	Account Code Description	Current Budget Amount	Budget Available Balance	Amount	Plus Minus	
18C000	C12000	Department A	600	6Z0	Budget Code Unallocated Salary 06	5,702.49	163,781.87	1,500.00	+	Edit
18C000	C12000	Department A	600	7Z6	Budget Code Unallocated Exp 99	0.00	163,781.87	500.00	+	Edit
									Select	Add Clear

In the '**Fund Balance Information**' section, a '**Current Budget Amount**' and '**Available Fund Balance**' are displayed. The Current Budget Amount shows the amount that has already been budgeted from fund balance in this particular FOP this fiscal year. If reducing an account, the reduction cannot exceed the Current Budget Amount. The Available Fund Balance Amount indicates the maximum amount that can be carried forward for the fund as a whole.

For each Expense Acct entry made, both a '**Current Budget Amount**' and '**Budget Available Balance**' are displayed. The Budget Available Balance indicates that budget less expenditures & encumbrances. The amount displayed follows the budget controls in place for the fund (either FOP for FOAP controlled).

All comments and attachments should be loaded to the revision to support the revision request.

After all expense account adjustments have been entered, use the 'Start Approvals' button to display the required approvals before submitting the revision.

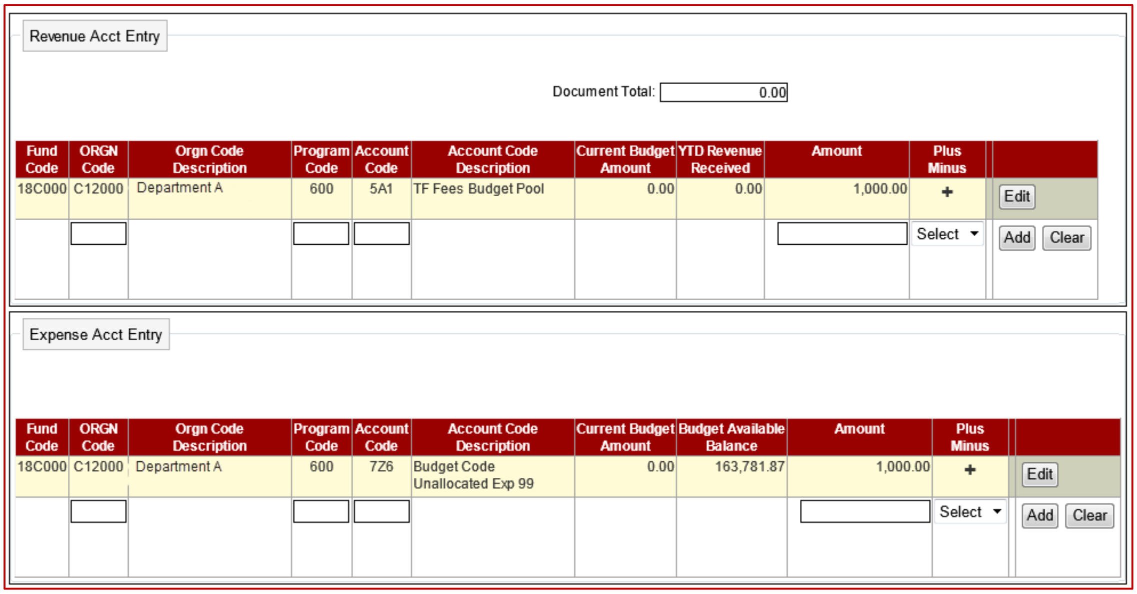
Option 3 – Budget of Revenue

This revision type allows for adjustments to the projected revenue budget of one fund. This revision type allows for establishing a new revenue source, increasing an existing revenue budget, or decreasing an existing revenue budget.

Once the initial three parameters have been chosen, '**Fund Entry**', '**Revenue Acct Entry**', and '**Expense Account Entry**' sections become visible. Enter the Fund code associated with budget revision request you are submitting, and click 'Next' (or *Tab*). (If the Fund is a grant, additional grant information is displayed below.)

A '**Change Fund**' button is available at any time before the revision is submitted to approvals. This allows for using a different Fund Code than originally chosen.

After the fund has been chosen, the remainder of the FOAP information can added line by line. The Revenue Acct Entry section allows you to input the revenue budget pool that you are adjusting, along with the amount(s). A corresponding amount of expenses must be budgeted in the Expense Acct Entry section below. The example below is establishing a 1,000 revenue budget (fees), and a matching 1,000 expense budget:



The net increase (or decrease) to revenue must balance with the net increase (or decrease) to expenses. To monitor whether a document balances, a '**Document Total**' keeps a running total of the document balance. Document Total must equal 0.00 before a revision can be submitted.

For each Revenue Acct Entry made, both a '**Current Budget Amount**' and '**YTD Revenue Received**' are displayed. The Current Budget Amount shows the amount that is currently budgeted for that particular account code. If reducing an account, the reduction cannot exceed the Current Budget Amount. The YTD Revenue Received indicates the actual revenue that has been recognized (not budgeted) for that particular FOAP.

For each Expense Acct entry made, both a '**Current Budget Amount**' and '**Budget Available Balance**' are displayed. The Budget Available Balance indicates that budget less expenditures & encumbrances. The amount displayed follows the budget controls in place for the fund (either FOP for FOAP controlled).

All comments and attachments should be loaded to the revision to support the revision request.

After all revenue and expense account adjustments have been entered, use the 'Start Approvals' button to display the required approvals before submitting the revision.

Option 4 – Transfer from One Fund to Another

This revision type allows for transferring budgeted funds from one Fund to another. (Transferring funds within the same fund can be accomplished via an Option1 revision.) This revision type also allows for adjusting the revenue and/or fund balance budget, and then transferring those funds. Essentially, an Option 4 revision allows the same functionality capable in Options 2 & 3 – in addition to transferring funds from fund to fund.

Once the initial three parameters have been chosen, a '**Transfer Entry**' section becomes visible. This section allows the user to indicate both the FOAP where budgeted funds are being transferred **IN** to, and **OUT** of. Once both FOAPs have been chosen and validated, a 'Next' button appears to allow expense account adjustments to be made in '**Transfer In Entry**' and '**Transfer Out Entry**' sections.

A '**Change FOAP**' button is available at any time before the revision is submitted to approvals. This allows for changing the FOAPs originally chosen for the transfer.

The first line of both the Transfer In and Transfer Out sections are pre-populated with the FOAP information that was provided. These lines allow for budgeting the appropriate transfer budgets pools to accompany the expense (and revenue/fund balance) entries that are made. This eliminates the need for the user to enter this information. Only the expense, revenue, and/or fund balance budgets need to be entered in each section.

The example below is decreasing one FOAP by 1,000 (transfer out), and increasing a different FOAP by a matching 1,000 (transfer in):

Transfer In Entry

Fund Total: 1,000.00

Fund Code	ORGN Code	Orgn Code Description	Program Code	Account Code	Account Code Description	Current Budget Amount	Available Balance	Amount	Plus Minus	
18C000	C12000	Department A	600	8A1	TT Nonmand Transfer In Budget Pool	0.00		1,000.00	-	
18C000	C12000	Department A	600	7Z6	Budget Code Unallocated Exp 99	0.00	163,781.87	1,000.00	+	Edit
									Select	Add Clear

Transfer Out Entry

Fund Total: (1,000.00)

Fund Code	ORGN Code	Orgn Code Description	Program Code	Account Code	Account Code Description	Current Budget Amount	Available Balance	Amount	Plus Minus	
16A051	C00002	Department B	600	8A3	TT Nonmand Transfer Out Budget Pool	87,064,369.53		1,000.00	+	
16A051	C00002	Department B	600	7Z6	Budget Code Unallocated Exp 99	1,012,998.83	4,038,043.86	1,000.00	-	Edit
									Select	Add Clear

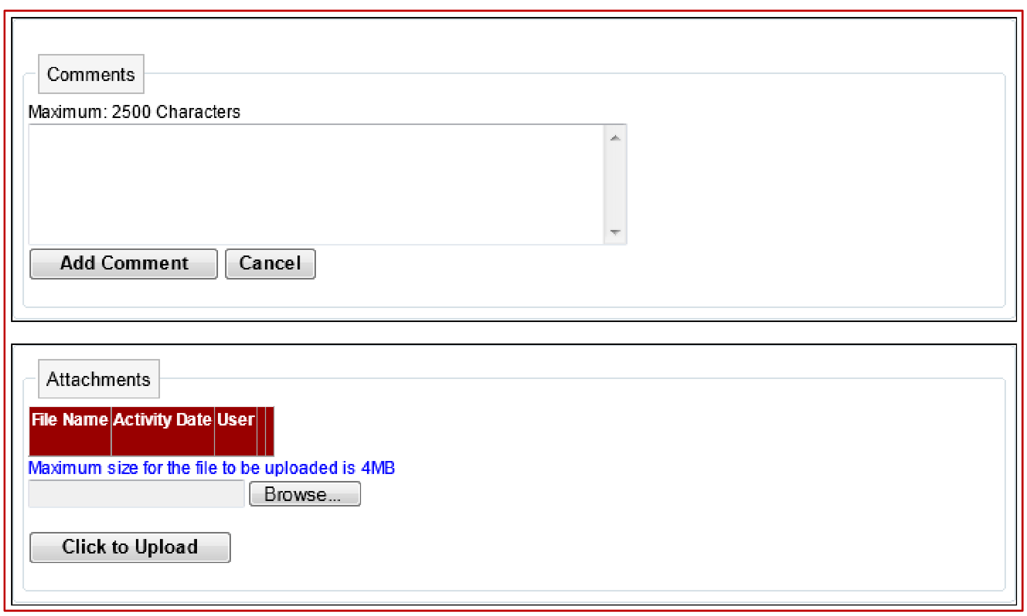
The net increase (or decrease) to the Transfer In section must balance with the net increase (or decrease) to the Transfer Out section. To monitor the amount each fund has been increased or decreased, a '**Fund Total**' above each section keeps a running total of each fund. An additional '**Document Total**' is located at the top of the document and must equal 0.00 before a revision can be submitted.

Adding Comments and/or Attachments to a Document

Once all lines of a budget revision have been completed, the originator should add supporting information for the request via a comment or file attachment. Approvers of each document can also add comments/attachments when viewing the document in the Approval Tracking System. Furthermore, any user has the same ability when viewing a pending document from the 'Status' page in the BRS.

Once a document has been approved by all levels and sent to posting, attachments and comments can no longer be added.

The sections shown below are available for all four revision types:



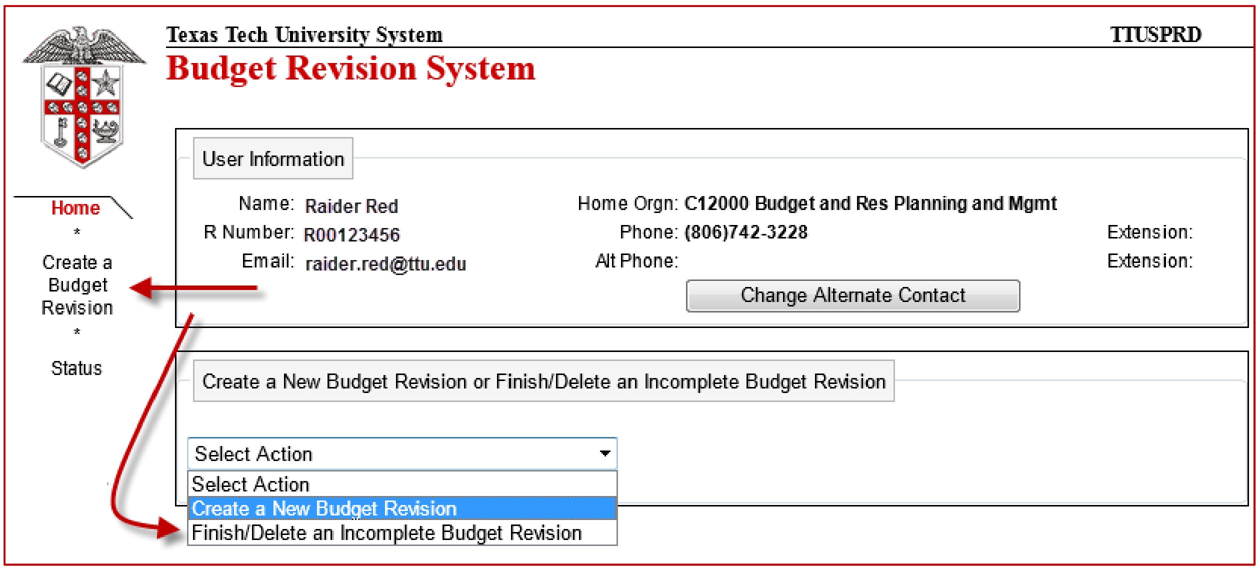
An unlimited number of comments can be attached to each document, with each comment allowing a maximum of 2,500 characters. Also, an unlimited number of attachments can be added, with each attachment having a maximum size of 4mb.

*Sensitive information should be avoided when using the attachments and comments features.

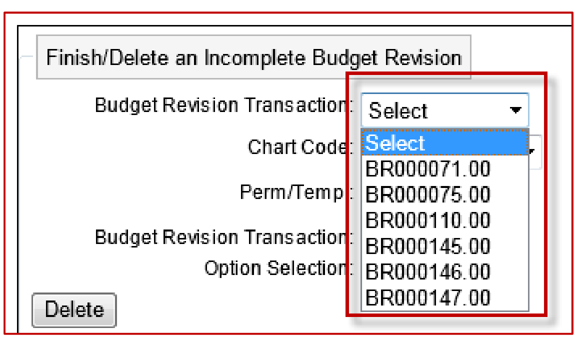
Finishing an Incomplete Document

The Budget Revision System saves most information that has been entered for each document that has been started but not yet been submitted to approvals, so that it can be retrieved and completed at a later time.

Choose the 'Create a Budget Revision' link, followed by the 'Finish/Delete an Incomplete Budget Revision' option in the drop-down.



A new drop-down containing all incomplete documents is displayed:



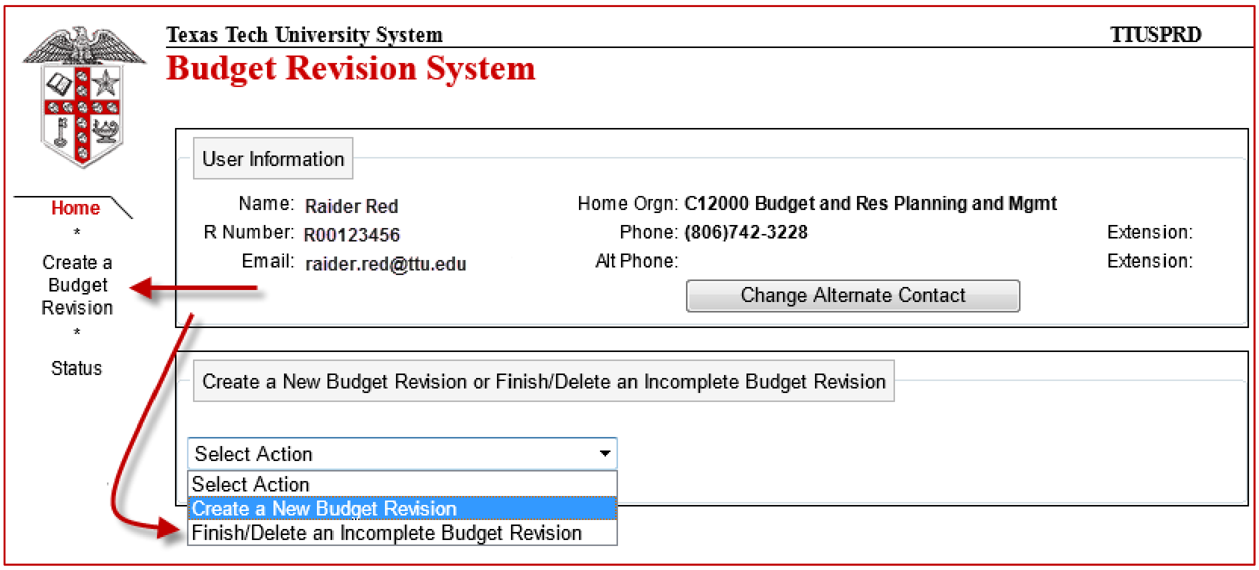
Once a document is chosen, the instructions for creating a revision can be followed for each option.

*Incomplete documents are deleted from the system after having no activity for 30 days.

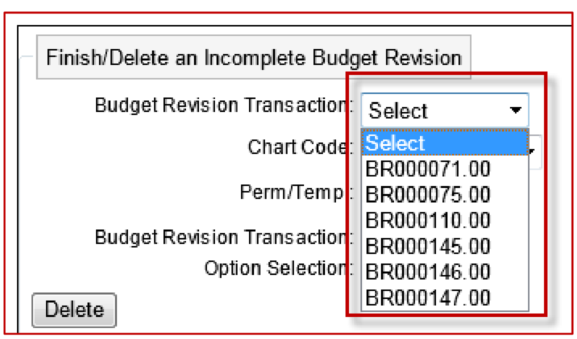
Deleting an Incomplete Document

The Budget Revision System saves most information that has been entered for each document that has been started but not yet been submitted to approvals. The user can choose to delete a document which they do not plan to submit for processing.

Choose the 'Create a Budget Revision' link, followed by the 'Finish/Delete an Incomplete Budget Revision' option in the drop-down.



A new drop-down containing all incomplete documents is displayed:



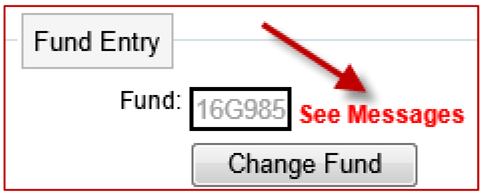
Once a document has been chosen, a 'Delete' button appears in the lower-left corner of the first entry section. Clicking this button permanently deletes the revision.

*Incomplete documents are deleted from the system after having no activity for 30 days.

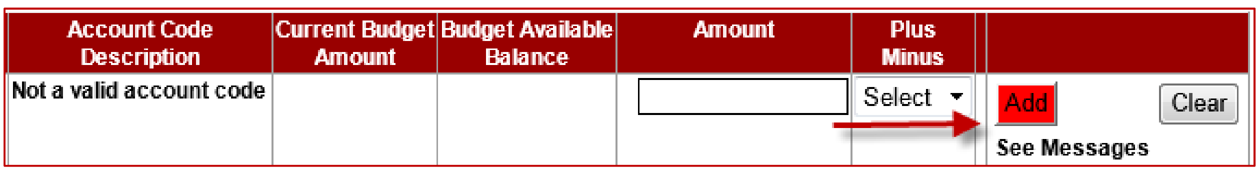
Errors & Warnings

Throughout the budget revision process in this system, both '**Errors**' and '**Warnings**' sections are located in the top-right section of the screen. Visual indicators are provided when an invalid entry has been made. The indicators include a combination of red buttons and/or text adjacent to the invalid entry. See below for a few examples of these indicators.

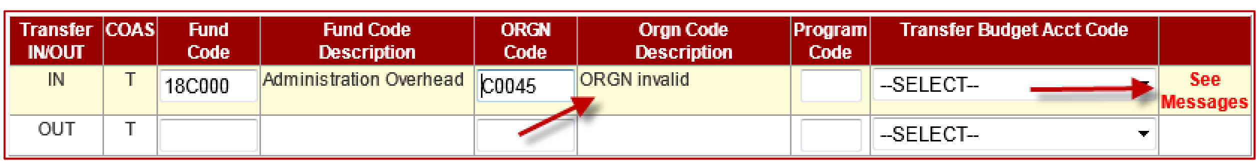
Invalid Fund (Option 1):



Invalid Account Code (Option 1):



Invalid Organization Code (Option 4):

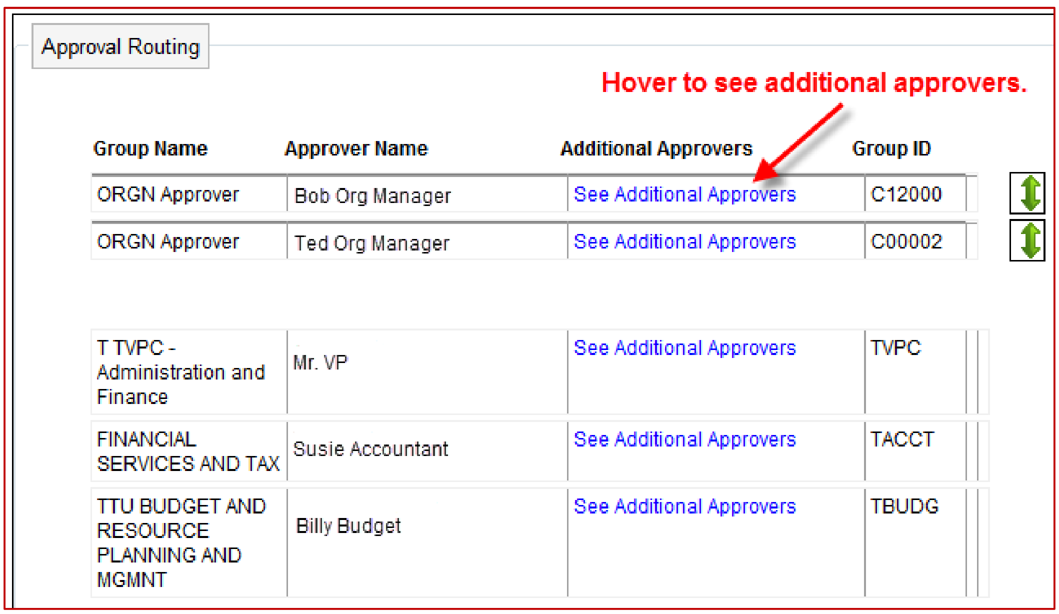


Approvals & Routing

Certain levels of approval are required for each option. Additional approvers may be added in order to comply with other departmental specific policies. The lists below indicate the required levels of approval that will be defaulted for each option.

*Note: Budget revision requests for grant funds must be originated by the Office of Research Services or Sponsored Programs Accounting and Reporting, and therefore may differ from the routing mentioned below.

Example below shows five required levels of approval. Those with up-down arrows next to them can be moved within the approval chain. (All added approvers can also be moved within the chain.)



Group Name	Approver Name	Additional Approvers	Group ID
ORGN Approver	Bob Org Manager	See Additional Approvers	C12000
ORGN Approver	Ted Org Manager	See Additional Approvers	C00002
T TVPC - Administration and Finance	Mr. VP	See Additional Approvers	TVPC
FINANCIAL SERVICES AND TAX	Susie Accountant	See Additional Approvers	TACCT
TTU BUDGET AND RESOURCE PLANNING AND MGMNT	Billy Budget	See Additional Approvers	TBUDG

Default Required Approvals – <u>Option 1</u>

- ***Financial Manager** (Org Manager) for any FOP whose expense budget is being reduced.*
- ***Financial Manager** (Org Manager) for any FOP whose expense budget is being increased.*
- ***Area/Division Vice President** for any FOP whose expense budget is being reduced.*
- ***SVP Admin/Finance** for any movement of expense budget from salary to operating on state FOPs and for all adjustments ≥ 100,000.*
- ***Budget Office** for all 'permanent' budget adjustments.*

Default Required Approvals – Option 2

- **Fund Manager** for any Fund requesting a budget adjustment involving fund balance.
- **Financial Manager (Org Manager)** for any FOP whose expense budget is being increased.
- **Financial Manager (Org Manager)** for any FOP whose expense budget is being decreased.
- **Area/Division Vice President** for any FOP whose expense budget is being reduced.
- **SPAR** (grants only)
- **SVP Admin/Finance** for any budget adjustment involving fund balance (excluding grants).
- **Budget Office**

Default Required Approvals – Option 3

- **Financial Manager (Org Manager)** for any FOP whose expense budget is being increased.
- **Financial Manager (Org Manager)** for any FOP whose expense budget is being decreased.
- **Area/Division Vice President** for any FOP whose expense budget is being reduced.
- **SPAR** (grants which have ended only)
- **SVP Admin/Finance** for any movement of expense budget from salary to operating on state FOPs and for all adjustments ≥ 100,000.
- **Budget Office**

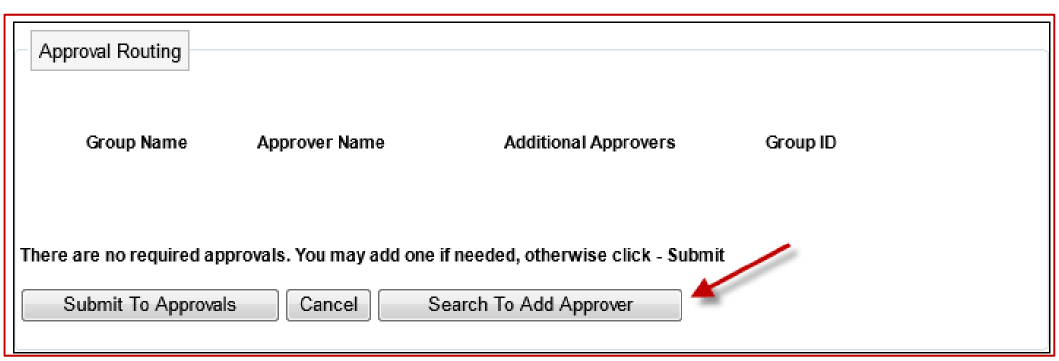
Default Required Approvals – Option 4

- **Fund Manager** for any Fund requesting a budget adjustment involving fund balance.
- **Financial Manager** (Org Manager) for any FOP whose expense budget is being increased.
- **Financial Manager** (Org Manager) for any FOP whose expense budget is being decreased.
- **Area/Division Vice President** for any FOP whose expense budget is being reduced.
- **Financial Services and Tax** (non-grants only)
- **SPAR** (grants only)
- **SVP Admin/Finance** for any movement of expense budget from salary to operating on state FOPs, all adjustments ≥ 100,000, and adjustments involving fund balance.
- **Budget Office**

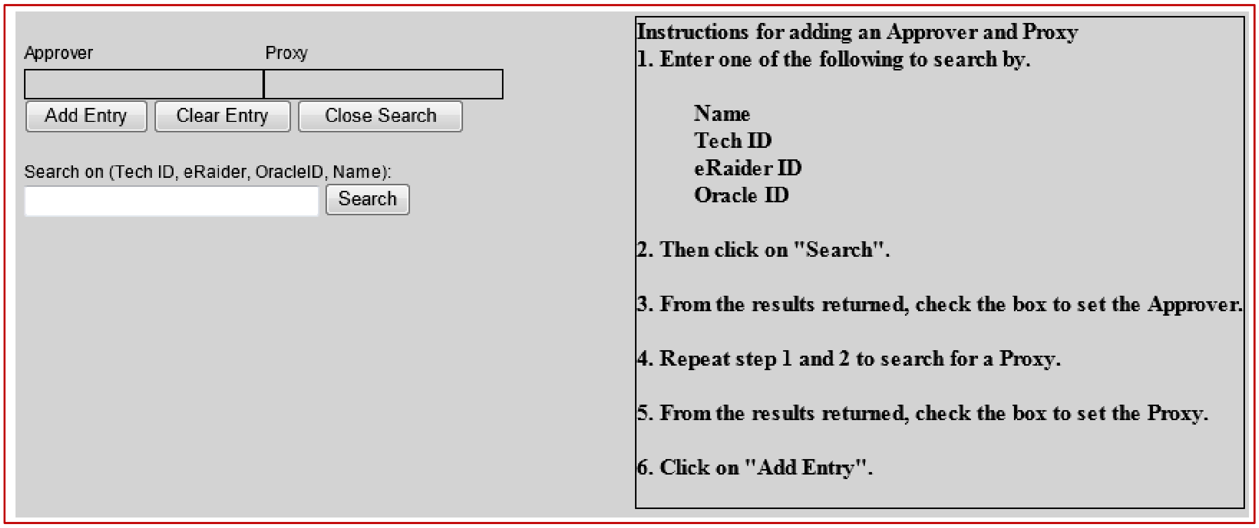
Adding an Additional Approver (or Proxy) from the Budget Revision System

Once the revision has been completed and the 'Start Approvals' button has been clicked, the default required levels of approval are displayed.

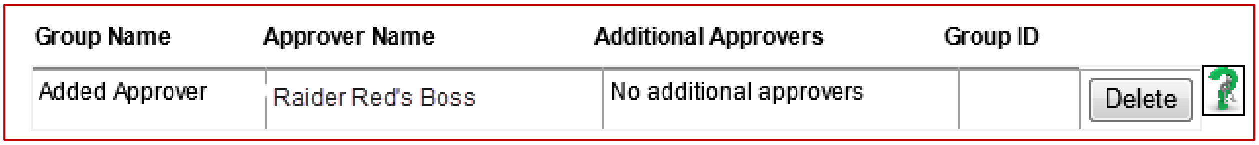
The user has the added ability to add their own approvers (and proxies) to the "chain" of approvers. To do so, use the 'Search to Add an Approver button in the Approvals section:



After choosing to add an approver, the user is provided with a number of search capabilities to add both an approver and proxy. Detailed instructions are also provided:



The added entry is then displayed above the other levels of approval. The user does have the ability to move the added approval level up or down using the green '?' icon:



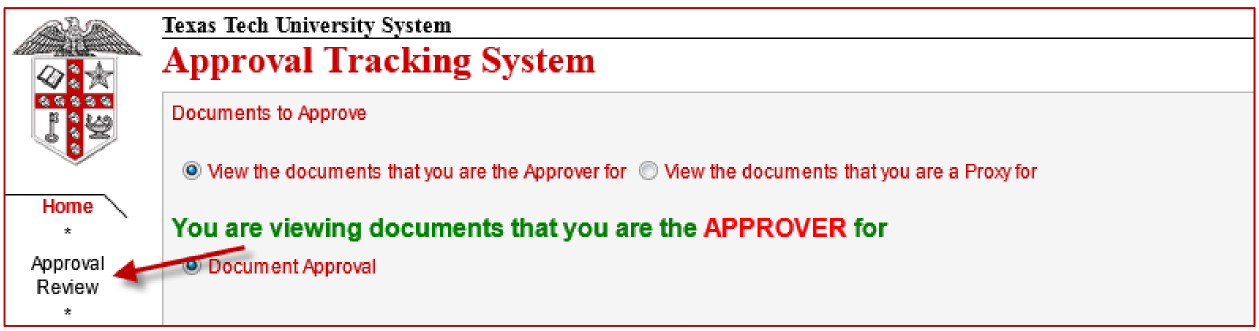
Approving a Document (Approval Tracking System)

All approvals for each budget revision are routed using the Approval Tracking System. This is the same system currently being used by other applications such as the New Fund System and the Employee One-Time Payment System.

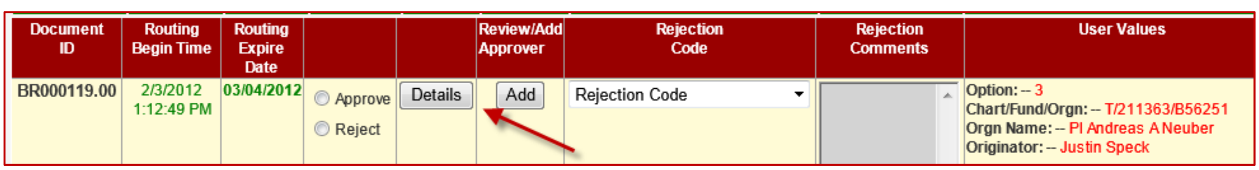
The URL for the Approval Tracking System (ATS) is:
https://banapps.texastech.edu/itis/IS_ApprovalTrackingSystem/

Viewing Documents Pending Approval

Use the 'Approval Review' link in the left-hand menu to view all documents that are pending your approval.



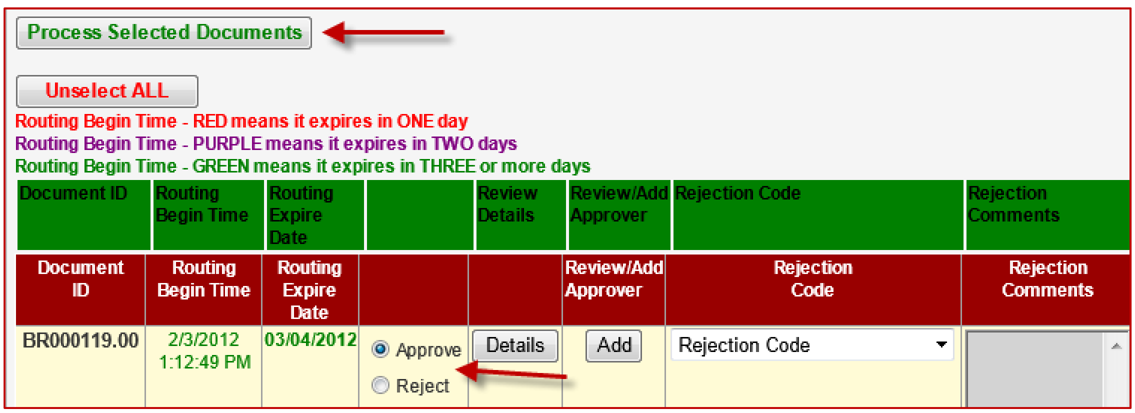
A list of all pending documents are displayed. To view details of a particular document, click the 'Details' button next to the document:



Approving or Rejecting a Document

Once details are requested for a document, the full view of the document (from the BRS) is displayed for the approver to review. The approver now has three options to proceed (see below):

Once an approval choice has been made, the user is re-directed back to the list of pending documents. The approval (or rejection) decisions are stored until the user chooses to 'Process Selected Documents'. Clicking this button sends all documents marked for approval to the next approver, and all documents marked for rejection back to the originator for correction. (*Rejected documents require a rejection reason and/or comment be made.)

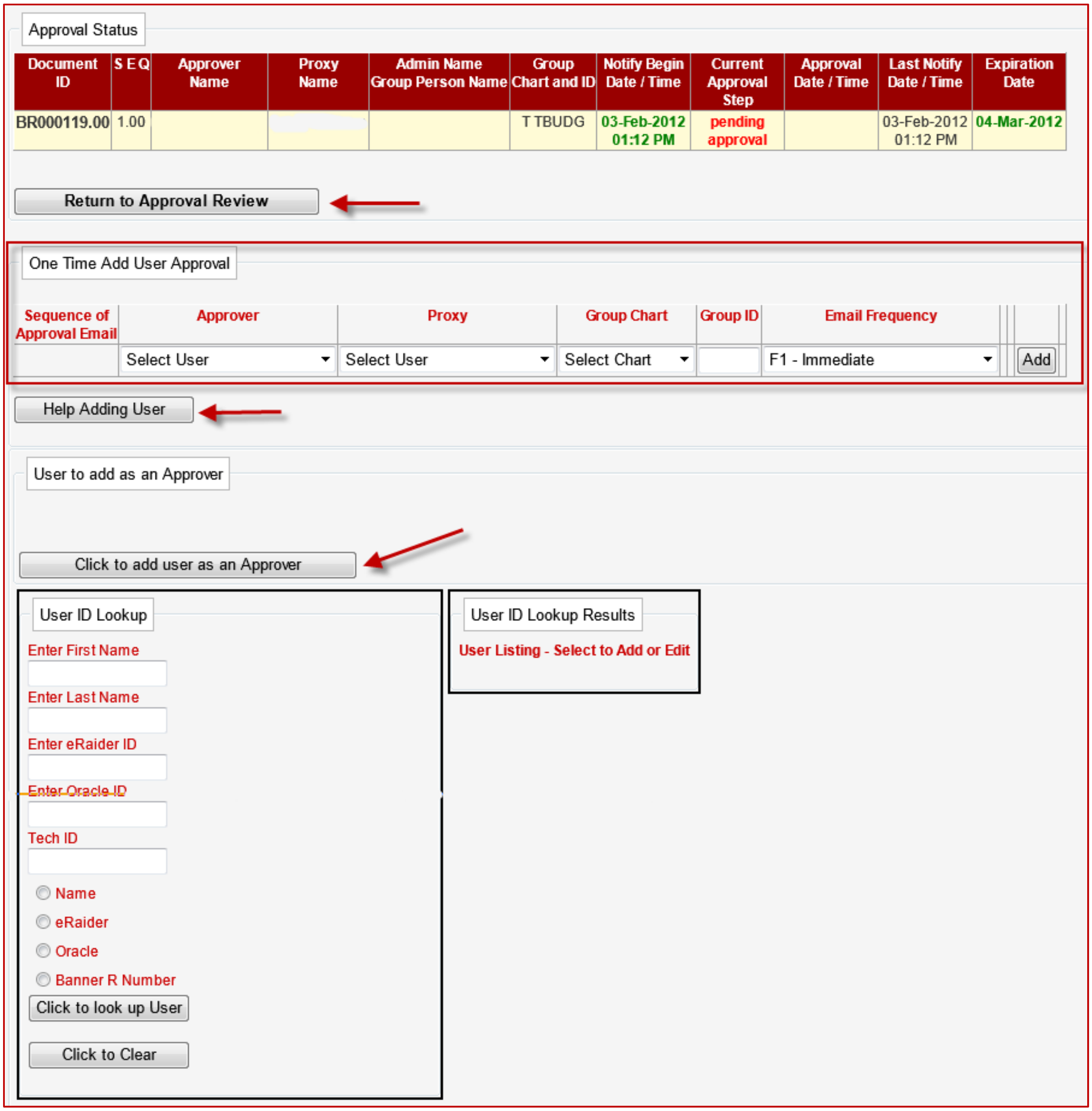


Adding an Approver and Proxy from the Approval Tracking System

Using the 'Add' button next to the document pending approval allows the approver to add an additional approver (and proxy) to the current approval chain in place for the document:

Using this feature takes the user to a display of both the current approval chain, the new level of approval being added, and a search feature to find employees who will be added.

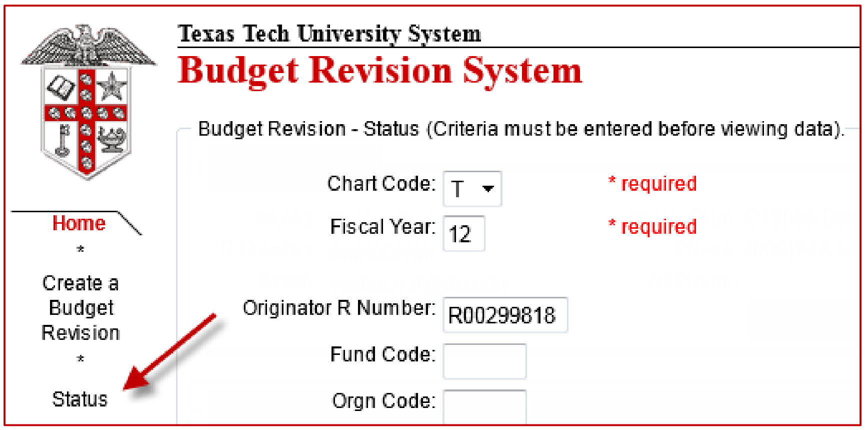
A 'Help Adding User' button is also available.



Status Page

Search for and View an In-Process or Approved Document

The Budget Revision System allows for users to search for any document which is in process (not yet submitted), or a document which has been approved and posted to Banner.



After using the 'Status' page link, a number of search criteria are available to the user. Only the Chart of Accounts and Fiscal Year are required to be chosen. The user who is logged in to the system will have their employee ID (R#) automatically populates the 'Originator R #' field – allowing the user to only see documents that they created. Documents can also be found by any combination of the Fund, Organization, Transaction #, Banner Document ID, Date Range, or Status.

The 'Status' indicator allows the user to specify showing only documents having met a certain stage of submission to the system. For all documents which have been started, but not yet submitted, the '**In Process**' selection can be chosen. The user can also choose to only show revisions which have been:

- '**Submitted**' – Document(s) have been submitted for approval(s), but have yet to be approved by all levels.
- '**Approved**' – Been approved by all levels, and sent for posting to the system. A Banner Document ID should populate within 15 minutes of the document meeting all approvals.
- '**Rejected**' – These documents have been sent back by one of the approvers, allowing the originator to make corrections to the document and re-submit.
- '**Expired**' – Documents which were pending in one approval level for more than 30 days, and are then in expired status.

After the user has selected all applicable search criteria, they should use the 'Apply Filter' button to display all resulting budget revision documents. The list of documents includes useful information including the Revision Type, Originator, Transaction #, etc.

Clicking on the transaction number of any document allows the user to see a full view of the budget revision. It also allows the users to see the progress of obtaining all approvals for the document:

Approval Status

Status	Approved Date	Pending Since	Approver/Proxy	Group Chart	Group ID	Approver	Approving As
Approved	2/3/2012 9:26:11 AM		Approver - and Proxy -	T	B52000		ATS Admin Override
Approved	2/3/2012 9:31:27 AM		Approver - and Proxy -	T	C00002		ATS Admin Override
Approved	2/3/2012 9:33:18 AM		Approver - and Proxy -	T	TVPC		ATS Admin Override
Approved	2/3/2012 5:20:45 PM		Approver - and Proxy -	T	TACCT		ATS Admin Override
PENDING		2/3/2012 5:20:46 PM	Approver - and Proxy -	T	TBUDG		

The user can also choose to add comments or attachments to a document at any time before the document has been approved by all levels.

Questions regarding the Budget Revision System should be directed to the Budget Office (phone 742-3228, ambud@ttu.edu).