BANNER BUDGET INSTRUCTIONS

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I. BUDGET ENTRY INSTRUCTIONS on custom form FZAJVCQ:

A. ENTRY FORM: FZAJVCQ is a customized budget entry form that generates a “Z” document and should only be used to enter budgets that flow through the Budget Office. Only rule codes BD02 (permanent budgets) and BD04 (temporary budgets) should be used on this form. **Do not use FZAJVCQ or rule codes BD02 or BD04 to enter budgets for the following funds:**

1. Grant Funds (2XXXX) – use FGAJVCD with rule codes BD07 or BD08
2. RGC Funds (14XXX) – use FGAJVCD with rule codes BD07 or BD08
3. Plant Funds (9XXXX) – use FGAJVCD with rule codes BD09 or BDFX
4. Cost Share Funds (7XXXX) – use FGAJVCD with rule codes BD07 or BD08

**Exception:** Cost Share transfer budgets between funds 7XXXX and 11XXX will use FZAJVCQ with rule code BD04. You can find instructions for these exception budgets under “Banner/Transfers” on our web page.

B. INSTRUCTIONS:

- Log into Banner from “My Bama”
- Access FZAJVCQ from the Direct Access Box or from “My Banner”
- Document Number - type in NEXT and complete the Next Block Function (Ctrl Page Down)
  - This puts you in the “Document Header” block of FZAJVCQ
  - This will generate a one up number beginning with Z to track your transaction
- Transaction Date – The date will default to the system date – tab past this field unless you wish to change the date. Remember the budget period is generated by this date. If you want to change the date, you can only change it to a date that is associated with an “open” period.
- Document Total – Enter in the total of the entire transaction (absolute value of all sequences)
- **Document Text** - It is important to enter a detailed explanation of your budget change on FOATEXT (Document Text) if you are unable to supply an adequate explanation in the remarks field on FZAJVCQ. Failure to enter a complete explanation could delay the processing of your budget. You can access FOATEXT under the options menu only while you are in the “Document Header” block of FZAJVCQ. Once you add your explanation you need to save this screen and then close it. You can then proceed to the “Transaction Detail Block” to enter your budget change and complete it. If you wish to enter text after you have finished the third block, you have 2 options: (1) You can save your document and roll back to the “Document Header” block or (2) you can put the document “In Process” and re-enter the “Document Header” block. Both options will require you to return to the “Transaction Detail Block” to “complete” the document.
If you wish to add extra back-up documentation, please send copies to the budget office with the document number (ZXXXXXXX) **CLEARLY** identified. It is very important to make note in the document text box that support documentation is being imaged. These documents will be entered into the imaging system.

- Once you have completed the “Document Header Block” and added text if necessary, complete the Next Block Function (Ctrl Page Down) to access the Transaction Detail Block (3rd block)

- **Sequence** – Tab past this field to automatically generate a one up number

- **Journal Type** – *(Do not use both on the same budget change)*
  - Permanent Budget Changes – BD02
  - Temporary Budget Changes – BD04

- **Chart** – This field defaults to A. Tab If you wish to leave it A. To change the chart you must manually enter a different chart. The chart along with the transaction date, drive the auto populate for budget period. **Remember: You can only use one chart per budget change.**

- **Index** – Leave Blank

- **Fund** – Enter in the Fund Code for the first sequence of the transaction
- Organization – Enter in the Organization Code for the first sequence of the transaction
- Account – Enter in the Account Code for the first sequence of the transaction
- Program – Enter in the Program Code for the first sequence of the transaction
- Activity – Leave Blank
- Location – Leave Blank
- Amount – Enter in the amount to be transferred from/to this FOAP
- D/C – Enter + for increases or – for decreases (not DR or CR)
- Description – 35 characters
- Position No –
  - If this sequence contains one of the highlighted salary account codes in the list below (or a sabbatical account code 605530), a position number must be entered in this field.
  - If this sequence contains any other type account code, leave it blank.

**SALARY ACCOUNT CODES:**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>601110</td>
<td>Salaries/Wages (also Std Rec'bles contra)</td>
</tr>
<tr>
<td>601210</td>
<td>Exec/Admin/Mgr General</td>
</tr>
<tr>
<td>601213</td>
<td>Exec/Admin/Fin Only</td>
</tr>
<tr>
<td>601215</td>
<td>Exec/Admin/Mgr Increment</td>
</tr>
<tr>
<td>601220</td>
<td>Exec/Admin/Mgr-AL PO</td>
</tr>
<tr>
<td>601310</td>
<td>Faculty Administration</td>
</tr>
<tr>
<td>601313</td>
<td>Faculty Admin - Finance Only</td>
</tr>
<tr>
<td>601315</td>
<td>Faculty Administration Increment</td>
</tr>
<tr>
<td>601320</td>
<td>Faculty Admin-AL PO</td>
</tr>
<tr>
<td>601325</td>
<td>Faculty End Chair Stipend</td>
</tr>
<tr>
<td>601340</td>
<td>Faculty Research</td>
</tr>
<tr>
<td>601350</td>
<td>Faculty Research - Summer</td>
</tr>
<tr>
<td>601380</td>
<td>Faculty Instruction</td>
</tr>
<tr>
<td>601383</td>
<td>Faculty Instruction/Fin Only</td>
</tr>
<tr>
<td>601399</td>
<td>Faculty Supplmental Comp</td>
</tr>
<tr>
<td>601410</td>
<td>Professional (Exempt)</td>
</tr>
<tr>
<td>601413</td>
<td>Professional (Exempt)/Fin Only</td>
</tr>
<tr>
<td>601415</td>
<td>Professional Admin Increment</td>
</tr>
<tr>
<td>601420</td>
<td>Prof (Exempt)-AL PO</td>
</tr>
<tr>
<td>601430</td>
<td>Prof (Exempt)-Sup Cmp</td>
</tr>
<tr>
<td>601440</td>
<td>Professional (Not exempt)</td>
</tr>
<tr>
<td>601443</td>
<td>Professional (Not exempt)/Fin Onl</td>
</tr>
<tr>
<td>601450</td>
<td>Prof (Not exempt) SL PO</td>
</tr>
<tr>
<td>601460</td>
<td>Prof (Not exempt) AL PO</td>
</tr>
<tr>
<td>601510</td>
<td>Secretarial/Clerical - General</td>
</tr>
<tr>
<td>601513</td>
<td>Secretarial/Clerical/Fin Only</td>
</tr>
<tr>
<td>601520</td>
<td>Secretarial/Clerical - SL PO</td>
</tr>
<tr>
<td>Code</td>
<td>Description</td>
</tr>
<tr>
<td>--------</td>
<td>-----------------------------------------</td>
</tr>
<tr>
<td>601530</td>
<td>Secretarial/Clerical - AL PO</td>
</tr>
<tr>
<td>601810</td>
<td>Maintenance - General</td>
</tr>
<tr>
<td>601810</td>
<td>Maintenance - General</td>
</tr>
<tr>
<td>601813</td>
<td>Maintenance - General/Fin Only</td>
</tr>
<tr>
<td>601820</td>
<td>Maintenance - SL PO</td>
</tr>
<tr>
<td>601830</td>
<td>Maintenance - AL PO</td>
</tr>
<tr>
<td>601830</td>
<td>Maintenance - AL PO</td>
</tr>
<tr>
<td>602102</td>
<td>Graduate Student Assistant</td>
</tr>
<tr>
<td>602103</td>
<td>Graduate Stud Asst/Fin Only</td>
</tr>
<tr>
<td>602106</td>
<td>Graduate Teaching Assistant</td>
</tr>
<tr>
<td>602110</td>
<td>Graduate Research Assistant</td>
</tr>
<tr>
<td>602200</td>
<td>Undergraduate Student Assistant</td>
</tr>
<tr>
<td>602200</td>
<td>Undergraduate Student Assistant</td>
</tr>
<tr>
<td>602203</td>
<td>Undergraduate Stud Asst/Fin Only</td>
</tr>
<tr>
<td>603101</td>
<td>Overtime</td>
</tr>
<tr>
<td>603103</td>
<td>Overtime/Fin Only</td>
</tr>
<tr>
<td>603201</td>
<td>Shift Differential</td>
</tr>
<tr>
<td>603301</td>
<td>Cell Phone Allowance</td>
</tr>
<tr>
<td>604102</td>
<td>Awards paid by Payroll</td>
</tr>
</tbody>
</table>

**FRINGE ACCOUNT CODES**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>605111</td>
<td>Benefits Budget Pool</td>
</tr>
<tr>
<td>605113</td>
<td>(contra for fringes billed to Std Rec'bles)</td>
</tr>
<tr>
<td>605210</td>
<td>Social Security-State</td>
</tr>
<tr>
<td>605220</td>
<td>Social Security-University</td>
</tr>
<tr>
<td>605230</td>
<td>Social Security-Contract/Grant</td>
</tr>
<tr>
<td>605310</td>
<td>State Teachers Retirement System</td>
</tr>
<tr>
<td>605311</td>
<td>State Teachers Retmt Sys - repurchase</td>
</tr>
<tr>
<td>605320</td>
<td>TIAA-CREF RA</td>
</tr>
<tr>
<td>605330</td>
<td>TIAA-CREF SRA</td>
</tr>
<tr>
<td>605340</td>
<td>VALIC employer match</td>
</tr>
<tr>
<td>605410</td>
<td>Health Insurance</td>
</tr>
<tr>
<td>605411</td>
<td>BCBS Family Medical Leave (AFML)</td>
</tr>
<tr>
<td>605412</td>
<td>BCBS Terminating Employees</td>
</tr>
<tr>
<td>605420</td>
<td>Health Insurance - Retirees</td>
</tr>
<tr>
<td>605430</td>
<td>Health Insurance - Medical OJI</td>
</tr>
<tr>
<td>605440</td>
<td>Health Insurance - Grad Students</td>
</tr>
<tr>
<td>605505</td>
<td>Life Insurance</td>
</tr>
<tr>
<td>605510</td>
<td>AD&amp;D Insurance</td>
</tr>
<tr>
<td>605515</td>
<td>Long Term Disability</td>
</tr>
<tr>
<td>605516</td>
<td>Long Term Disability - Pd by UA</td>
</tr>
<tr>
<td>605517</td>
<td>Long Term Disability-Residents</td>
</tr>
<tr>
<td>605520</td>
<td>EAP</td>
</tr>
<tr>
<td>605525</td>
<td>Liability Insurance</td>
</tr>
<tr>
<td>605530</td>
<td>Sabbatical Leave</td>
</tr>
<tr>
<td>605535</td>
<td>Tuition Grant - Employee</td>
</tr>
<tr>
<td>605540</td>
<td>Tuition Grant - Dependent</td>
</tr>
<tr>
<td>605541</td>
<td>Tuition Grant - Graduate</td>
</tr>
<tr>
<td>605545</td>
<td>Workman's Compensation</td>
</tr>
<tr>
<td>605550</td>
<td>State Unemployment Insurance</td>
</tr>
<tr>
<td>605555</td>
<td>Other</td>
</tr>
<tr>
<td>605560</td>
<td>System Office Benefits Other</td>
</tr>
</tbody>
</table>
• Budget Period will automatically be populated based on the transaction date entered in block 2 and the chart entered in block 3.

• Insert a new record (F6 or arrow down) and repeat the steps for the Transaction Detail Block until the total transaction has been entered

• Instructions for transfers between funds are under “Banner/Transfers” on our web page.

• Once the entire transaction has been entered complete the Next Block Function (Ctrl Page Down)

• Check the Complete Icon to submit the transaction to the Approval Queue.


You also have the option of putting the document “In Process”. This keeps the document in the “incomplete” status and you can return to the document to complete at a later time.

• BE SURE you check the message at the bottom of the form to insure that the document has been completed. The document could have errors causing it to go to the incomplete file and this is the only notification you will receive.

• The document will be forwarded for approvals to the appropriate approvers as defined by the Finance Approval Process

• IF THE BUDGET CHANGE IS ASSOCIATED WITH A PA, BE SURE THE DOCUMENT NUMBER IS ON THE PA. FAILURE TO DO THIS WILL DELAY PROCESSSSING OF THE PA.
II. PROGRAM CODES:

Program codes provide another way to categorize UA expenses such as instruction, research, public service, scholarships and fellowships, etc.

Most fund codes or organization codes have a default program code. For funds, these can be found by querying the Banner screen FTMFUND (Fund Maintenance Screen). The defaults are listed at the bottom of FTMFUND. If no default program exists for the fund, your organization code should have a default program code that can be found by querying the Banner screen FTMORGN (Organization Maintenance Screen).

Default program codes should always be used if entering a transaction:

- For Contract and Grant funds (2XXXX)
- For Cost Share funds (7XXXX)
- For Auxiliary funds (18XXX)
- For all other funds (11XXX, 12XXX, 13XXX, 3XXXX, 5XXXX) except for the following account codes:
  - Scholarships (7812XX) - use program 800 regardless of default
  - Graduate Tuition Remission (605541) – use program 100 regardless of default unless an Auxiliary which is ALWAYS 900

Default program codes should be used when completing any form requiring a FOAP. The FUND DEFAULT program code should always take precedent over the ORGN DEFAULT program code. HOWEVER, when using forms FGAJVCD or FZAJVCQ to enter documents, the orgn default program code over rides the fund default program code because of the order they are entered into the form. IN THESE CASES, where the orgn and fund default program codes are different, you will have to manually over-write the program code using the fund default.

If an error does occur, both Financial Accounting and Contract & Grant Accounting have month end programs that correct program code errors on most funds. There should be no need for departments to make corrections for program codes EXCEPT on payroll account codes:

- Payroll charges (for non-Contracts and Grants or Cost share funds) must be corrected by PA.
- Fringe benefit charges associated with the payroll charge will follow the salary correction made by the processing of the PA so no correcting entry needed.

It is important to note that if a monthly charge (ex: Copier, Telecommunications, Campus Mail, Fleet, etc.) is continually made to an incorrect program code month after month, the User should notify the department processing the feed to correct the source records.

To view all program codes on FGITRND (transaction screen), leave the program code field blank when entering the fund/org. If the program code is left blank on FGIBDST and FRIGITD, the balances reflected will include all program codes.
III. TRANSFER BUDGETS

A. OVERVIEW:

1. **When do transfers between funds need to be budgeted?**

   All budget transfers within funds 11XXX, 12XXX, and 13XXX need to be budgeted manually. Transfers for gift (3XXXX) and endowment income funds (5XXXX) are budgeted by mechanical entries so should not be budgeted by a budget change entry. Transfers between Plant funds and E&G are budgeted by the Budget Office. Transfers involving Grant Funds, RGC Funds or within Plant funds do not fall under the domain of the Budget Office and should NOT be processed on form FZAJVCQ and should NOT use rule codes BD02 or BD04.

2. **The main types of transfers are:**
   a. Transfers between funds 11XXX, 12XXX and 13XXX funds
   b. Transfers to Cost Share
   c. Transfers to Plant funds
      i. R&R
      ii. Project (Unexpended)
   d. Transfers from or within Auxiliary funds
   e. Gift and Endowment Transfers

3. **Unallowable transfers:**
   a. Between restricted and unrestricted (exception – residuals)
   b. 11XXX funds to non-state funds (12XXX, 13XXX, 15XXX, or 18XXX funds) or restricted funds (3XXXX, 5XXXX)
   c. 3XXXX funds to 2XXXX funds (exception - fund type 2C)

B. ACCOUNTS CODES USED FOR TRANSFER BUDGETS:

1. **Transfers-In**

   The normal balance for these specific account codes (7901XX) is a credit even though they fall in the expense account code range (7XXXXX) where account codes have a normal debit balance. As such, an increase to the budget would be entered as a ‘minus’ and a decrease as a ‘plus’. This is the opposite of other account codes in the 7XXXXX range. All transfers must be budgeted since they are reported separately. Transfer accounts are not pooled for NSF checking.

   - 790102 transfer from Auxiliaries
   - 790103 transfer from Unrestricted
   - 790104 transfer from Restricted (rare)
   - 790105 transfer from ROI (rare)
   - 790106 transfer from Endowment
   - 790107 transfer from R&R (plant fund range 93XXX to 94XXX)
   - 790108 transfer from Unexpended (plant fund range 90XXX to 92XXX)
   - 790109 transfer from Agency
   - 790111 transfer from Aux – Mandatory (rare)

2. **Transfers-Out**

   These account codes (7902XX) are considered expenditures with normal debit balances. Therefore you would use a “+” for an increase in the budget and a “-” for decrease in the budget. Watch out for reversing entries.

   - 790202 transfer to Auxiliaries
   - 790203 transfer to Unrestricted
   - 790204 transfer to Restricted (rare)
   - 790205 transfer to ROI (rare)
C. TRANSFER BUDGET INSTRUCTIONS BY TYPE:

1. Transfers within 11XXX, 12XXX and 13XXX funds:

   Use Form FZAJVCQ and rule code BD04. Most of these budget changes will use account codes 790203 and 790103 for unrestricted transfers. The Budget Office will send a copy of the Budget Change to Accounting for a journal entry unless a journal entry is usually prepared by the department for this type of transaction. Note: Never transfer funds from 11XXX to other type funds (12XXX, 13XXX, etc).

   **FOAP providing the funding:**
   Sequence 1: Source Decrease (-) Fund – Orgn – 7XXXXX or Increase (+) Fund – Orgn – 5XXXXX
   Sequence 2: Transfer Out: Increase (+) Fund – Orgn – 79020X

   **FOAP receiving the funding:**
   Sequence 1: Transfer In: Increase (-) Fund – Orgn – 79010X
   Sequence 2: Target: Increase (+) Fund – Orgn – 7XXXXX

2. Cost Share Transfers:

   Use Form FZAJVCQ and rule code BD04. Approvals will route them to C&G where the budget entry will be reviewed and a journal entry prepared. Once C&G approves the budget it will come to the Budget Office for final approval before posting.

   These transfers require four sequences – two for the “7” fund and two for the offsetting fund. Below are sample sequences where it is assumed that the funding source for the transfer is account code 700001. Other account codes, such as 5XXXX (revenue) or excess salary budgets can also be used as a funding source.

   a. Moving from Cost Share to E&G:
      Sequence 1: BD04 DECREASE (-) 7XXXX-ORG-700001
      Sequence 2: BD04 INCREASE (+) 7XXXX-ORG-790203
      Sequence 3: BD04 INCREASE (-) 1XXXX-ORG-790103
      Sequence 4: BD04 INCREASE (+) 1XXXX-ORG-700001

   b. Moving from E&G to Cost Share:
      Sequence 1: BD04 DECREASE (-) 1XXXX-ORG-700001
      Sequence 2: BD04 INCREASE (+) 1XXXX-ORG-790203
      Sequence 3: BD04 INCREASE (-) 7XXXX-ORG-790103
      Sequence 4: BD04 INCREASE (+) 7XXXX-ORG-700001

3. Plant Transfers:

   a. Transfers within Plant funds are usually prepared by Facilities. These budget changes should not be done on FZAJVCQ and should not use rule codes BD02 or BD04.
b. Plant transfers between Plant and E&G are usually prepared by the Budget Office. The budgets will be processed on FZAJVCQ using rule codes BD02 or BD04.

c. If you wish to transfer funds to or from your R&R fund, please follow the instructions below:
   i. Requests (via email) for transfer with supporting documentation should be made to the Budget Office. The supporting documentation should include the following information:
      Amount
      Reason for transfer
      FOAPS for funding source and target
   ii. The Budget Office will forward this request (via email) to OAA or OFA for appropriate approval.
   iii. Once approved, the Budget Office will prepare the budget change and send a copy to the Plant Accountant for a journal entry.
   iv. The Budget Office will image the approval emails.

d. For transfers to or from Plant funds for unexpended projects, the following applies:
   i. When Facilities initiates a project, sets up a plant fund, and processes the Project Approval Form, accounting prepares the journal entry to fund the project and sends a copy to the Budget Office.
   ii. The Budget Office prepares the budget change.
   iii. The budget change passes through the normal approval levels based on the funding orgn.

4. **Auxiliary Transfers:**

Never transfer funds between 11XXX and 18XXX funds. However transfers among different auxiliary funds (18XXX) or to plant funds will require transfers. **Remember transfers to/from plant funds are initiated by the Budget Office.** The department will be responsible for initiating transfer budgets between auxiliary funds. (See example below)

```
18XXX-ORG/SOURCE-700001-PROG (-)
18XXX-ORG/SOURCE-7902XX-PROG (+)
18XXX-ORG/TARGET-7901XX-PROG (-)
18XXX-ORG/TARGET-700001-PROG (+)
```

5. **Gift and Endowment Transfers:**

Actual and budget transfers are both done mechanically at month-end close.
IV. APPROVALS & DISAPPROVALS:

A. Approvals & Disapprovals

1. Approvals:

   Once a budget has been initiated and completed it will flow through approvals as outlined in B.

2. Disapprovals:

   Approver disapproves the budget and adds an explanation in Document Disapproval Text Entry. The only notification a budget initiator receives about a disapproved document is via the Banner Message board (GUAMESG). Therefore it is essential that budget preparers check their messages on a regular basis.

   The initiator should re-open the document, make corrections or adjustments, and complete the document again. Failure to do so leaves the document in the “incomplete” status. Documents that remain “incomplete” for two months are deleted. Once the document has been corrected and completed again, the approval process starts over.

3. To delete old messages on GUAMESG, click complete while you are viewing the message and save your changes.

B. Approval Queues

1. Function:

   a. Electronic approval is the same as signing the document.
   b. Approval queues have been set up according to the established flow of document approval per department.
   c. The Fiscal Manager for each department should notify the Budget Office if the approval queue and/or approvers need to be revised.

2. Approval Flow:

   a. User initiates budget
   b. The budget flows through the established approval queues where the approvers can either approve or disapprove the document. Therefore it is essential that Approvers check their queues (FOAUAPP) on a regular basis.

   *The approver’s queue also contains other type documents besides budget changes.*
V. TRACKING DOCUMENTS:

A. VERIFY DOCUMENT HAS POSTED (2 options):

1. Go to FGIDOCR and enter document number (ZXXXXXXX). If the document has posted the detail block will populate when you complete the Next Block Function (Ctrl Page Down)

2. Go to FGIBDST and enter a FOAP from the budget change. Complete the Next Block Function (Ctrl Page Down). Once you are in the detail block, arrow down to the account code on your budget change. Under options select “Transaction Detail Information [FGITRND]. If your document in on this list of transactions, it has posted. You may also access FGITRND directly.

B. LOCATE INCOMPLETE OR PENDING DOCUMENT:

1. To determine if the document is in process or if it is “incomplete”, go to FGJVCD and do a query for your document. (Hit F7, enter your document number and hit F8) Check the status of the document in the last column.
2. If the status is “I”, the document is incomplete. This occurs for two reasons:
   a. **The original document was not completed.**
      
      Either the initiator did not select the complete option or there was an error on the document preventing it from completing.
      
      *The initiator must re-enter the document via FZAJVCQ, make corrections if necessary, and complete the document.*
   
   b. **The document was disapproved.** There are two ways to verify:
      
      i. Check messages on GUAMESG. If you initiated the document or approved it, you should receive a “disapproved” message on GUAMESG with an explanation.
      
      ii. To view a document approval history, go to FOIAPPH and enter your document number. Hit F8. The left side of the form will give you a list of who has approved or rejected this document. It will not provide the reason. The name of the initiator also appears at the bottom of this form.

      *The initiator must re-open the document via FZAJVCQ, make corrections, and complete the document again. This will re-initiate the approval process.*

3. If the document has a status of “C”, your document is in the approval process. To locate the approval queue where the document currently resides (3 options):
   
   a. Go to FOAAINP and enter your document number. Complete the Next Block Function (Ctrl Page Down).

      On the left side of the form you will find a list of all approval queues associated with the document. As you scroll down the list, the members of that queue are listed on the right side of the form. A “+” in the “Approval Level” column indicates this is the next queue the document will enter.
   
   b. Use the drill down feature of Banner. Go to FOAUAPP, clear the User ID field, enter the document number, complete the Next Block Function (Ctrl Page Down) and click the “queue” icon. This puts you into FOAAINP as well.
   
   c. For additional information, FOIAPPH provides a list of approvers who have either approved or denied a completed or posted document. It doesn't list the queues through which a document must flow. To use this screen, enter the document number and select F8.
VI. DELETING DOCUMENTS AND RECORDS

- To delete a document before it enters the approval queue or if it has been disapproved:
  - Enter the Z# on FZAJVCQ or FGAJVCD
  - Hit NEXT BLOCK to populate the “Document Header” block
  - From options select RECORD and REMOVE (you will have to do this twice)
  - Select OK in the pop up box
  - If the document can’t be accessed and it has been verified via FGIDOCR (page 9) that it has not posted, contact the approver where the document is located and request that they disapprove the document so you can access it.

- To delete a record on the “Transaction Detail Block” (3rd block on FZAJVCQ):
  - All required fields on the record you wish to delete must be populated. This applies whether you have just started an incorrect record or if you have accidently inserted an extra blank line. In both cases you must add bogus information in all the required fields and save the record before removing it.
  - Highlight the line to be removed.
  - Hit the Save icon
  - Select Record and Remove from the menu bar
  - Hit the Save icon again.
VII. BUDGET QUERIES:

A. FGIBDST – Budget Summary by account code

1. You can access this form directly or through options on FGIBSUM or FZIBSUM. After you enter the FOAP (some parts are optional), complete the Next Block Function (Ctrl Page Down). You may query by account type if you wish. Below are some of the more common ones:

61 Salaries
65 Fringes

Grouped as “Labor” on FGIBSUM

71 General operating
78 Scholarships
79 Capital Expenditures
7C Recovery
7D Depreciation
7I Indirect costs
7O Non-operating expenses

Grouped as “Direct Expenditures” on FGIBSUM

81 Transfers In
82 Transfers Out

Grouped as “Transfers” on FGIBSUM
2. You can drill down to FGIBSUM, FGIOENC, and FGITRND from this form. See details on these forms below.

B. FGITRND – transactions by account code

1. You can access this form directly. After you enter your FOAP, complete the Next Block Function (Ctrl Page Down). A list of all transactions (journal entries, budget changes, encumbrances, etc.) for the current fiscal year is provided. You can drill down further by document type, document #, etc.

2. You can also reach this form by drilling down via the Options menu on FGIBDST. Once you are in the detail section of this form, arrow to the account code you wish to view, go to options, and select “Transaction Detail Information [FGITRND]”.

3. You may export this data to excel for sorting and notation. Once you are in the form, HOLD the control key down and under “Help” select Extract Data No Key. Continue to hold the control key until the open window appears. Be sure to save the file in an excel format.

4. You can query this form by any of the headings or any combination of headings in the second block to retrieve detailed information. To query by a specific day enter DAY-MONTH% under the activity date, to query by a particular month enter %-MONTH% under the activity date and to query for YTD leave the activity date field blank.
C. **FGIBSUM – Budget available by 4 general categories** *(RECOMMEND FZIBSUM)*

1. This form can be accessed directly or via the options menu on FGIBDST.

2. After the fund and organization are entered, complete the Next Block Function (Ctrl Page Down). The budget available in the last column will be categorized as revenue, labor, direct expenditures and transfers.

   A credit in the Available Balance column for revenue indicates an unbudgeted surplus. *(The revenue balance available will be skewed if beginning fund balance has been budgeted in 509010 or 509020)*.

   A credit in the Available Balance column for labor, direct expenditures, or transfers indicates a deficit budget balance. **Note that Cost Recovery and Transfers In have a normal credit balance and will be netted against Direct Expenditures and Transfers, respectively.**
D. FZIBSUM – Budget available by 14 categories

1. This form can be accessed directly or via options on FGIBDST.

   **This form is better suited for analysis of budget available.**

   a. For the revenue category, a debit balance in the Available Balance column indicates a deficit. Fund balance budgets are excluded on this form so the available balance is accurate.

   b. For all categories within the expense range, 7XXXXX account codes, (including recovery and transfers-in) a debit balance indicates you have excess budget that has not been expended.

   c. In general, the total of the availability column gives you the best overall indicator of the status of your FOAP. A debit balance indicates surplus funds that can be budgeted. A credit indicates an overall budget deficit.
E. FZISBVW – Salary budget available (must have Master Budget Security to view)

To use:

- Type FZISBVW in the Direct Access Box and hit enter
- Enter the Chart of Accounts Code if different from the default “A”
- Enter the Current Fiscal Year as 20XX
- Athletics will NOT enter a fiscal year but will check the box “Athletics Only”
- Enter the Fund, Organization, Account and Program (this field is optional) you wish to query
- Complete the Next Block Function (Ctrl Page Down)
- Once you are in the Salary Budget Block the information for all positions associated with the Fund, Organization and Account listed in the Key Block will be displayed
- Use the Scroll Bar or the Up and Down Arrow Keys to move through the list of positions
- If you want more details for a particular position, scroll until the position in question is high-lighted then complete the Next Block Function (Ctrl Page Down). If the position is filled, the person currently associated with that position will appear along with their current salary and labor distribution.
- To view the detail of another position within this FOAP, simply click on the position number in the second block (do NOT roll back) and then complete the Next Block Function (Ctrl Page Down) for more detail

No end date represents employee on until further notice. This type of employees needs a permanent budget equal to their total salary.
VIII. NSF for REQUISIONS and PURCHASE ORDERS

A. NSF (non-sufficient funds) checking prevents the processing of purchase requisitions and purchase orders in Charts A and C on FOAPs with insufficient operating budgets to cover the expense. Exception - plant funds (9XXXX) which give NSF warning but are not stopped and sent to the NSF queue.

B. Process for Requisitions:

1. Initiators:
   When creating a requisition in FPAREQN, initiators must pay attention to the message at the bottom of the form when they advance from the “Commodity/Accounting” tab to the “Balancing/Completion” tab (see below). If the following warning - “insufficient budget for sequence 1, suspending transaction” - appears, the requisition will not be processed when “completed” on the fourth tab. It will go to the “NSF” queue with a “C” status for review. This warning is the only notification the initiator will receive prior to any action taken by the NSF reviewer. The initiator’s best option is to put the requisition “in process” until sufficient budget is in place to cover the requisition.
2. If the initiator chooses to fund the deficit before the requisition goes to the NSF queue, the following steps need to be taken:

a. Ascertain the amount of funding necessary. The best place to find this amount is on FGIBAVL (see below).

FGIBAVL is the form/table that Banner uses to determine if there is available balance to cover a requisition. You should not use this screen for determining budget deficits. FZIBSUM (FRIGITD for grant funds) is the best reflection of your true budget available. The difference between FGIBAVL and FZIBSUM (FRIGITD level 2 for grants) is: FGIBAVL reflects pending document balances as well as posted document balances but FZIBSUM only reflects posted document balances. The balances on these screens, for the most part, will be equal.

b. A budget change to fund the deficit must be created and POSTED. In order to post, the budget change has to be approved and completed at all levels before it is reflected on FGIBAVL and FZIBSUM (FRIGITD for grants). To insure speedy processing, the budget initiator should notify all approvers that the document is coming to their queues for approval. If the initiator is unfamiliar with the levels
of approval, they can look at FOAAINP. Enter the budget number and select next block. All approval levels applicable to the document appear on the left side. As you scroll through these levels a list of approvers on the queue will appear on the right.

c. How do you know when a budget change has posted?
   i. You can go to FGIDOCR, enter the document number and select next block. If nothing appears in the next block, the document has not posted.
   ii. You can go to FGIBAVL to see if you now have enough balance to cover the requisition.

d. Once the budget change has posted and there is sufficient balance in FGIBAVL, the requisition initiator needs to re-open the requisition via FPAREQN and complete the document. Be sure to note if you still get a warning on tab 3. If you get a warning and there is sufficient balance in FGIBAVL, call the Budget Office at 8-7718. If you have this problem on a requisition using a grant fund, you should contact your C&G accountant.

3. NSF Queue: If the requisition initiator doesn’t see the NSF warning on tab 3 of FPAREQN (or chooses to ignore it) and completes the document, it goes to the NSF queue - NOT the next level of approval.

   Once a requisition is in this queue, the NSF reviewer has two options:
   a. **Budget Over-ride:**
      This will occur rarely and only under unusual circumstances.
   b. **Disapprove requisition:**
      Most will be “disapproved”. When a requisition is disapproved the following message will appear on the initiator’s message board or “GUAMESG”:
      
      “Insufficient operating budget”

      The initiator should also receive an automated email. Once the initiator has been notified of NSF, they should prepare a budget change to fund the deficit. Once the budget has **POSTED**, they should re-enter the existing requisition and complete again. (The initiator must enter all 4 blocks in the proper sequence in order to complete the requisition again.) Once these steps are complete, the initiator can verify that a requisition has posted on FGIDOCR or by checking “commitments” on FGIBDST (FRIGITD for grant funds).

4. **Grant Funds:**

   If a requisition is done on a Grant Fund, everything listed in 2 & 3 above applies with one additional step:

   a. Any requisition on a grant fund goes to the C&G accountant queue first, regardless of available balance. If there is insufficient budget, the NSF box will be checked. It is the responsibility of the C&G accountant to look for this. The C&G accountant has the following options for requisitions with insufficient budget:
• Do a budget over-ride
• Approve the requisition. This changes the status of the requisition to “C” and puts it in the NSF queue where it stays until action is taken by the NSF reviewer. (*The reviewer has the same options found in C. If the reviewer does not do an over-ride and disapproves the document, the initiator should follow the steps listed above in B.*)
• Disapprove the requisition. If the C&G accountant disapproves the document, it goes to the NSF queue and a message is sent to the initiator. Once again the initiator will need to follow the steps listed above in B or contact their C&G accountant.

5. Incomplete Requisitions:

Incomplete requisitions can affect your FGIBAVL balance. If you need to find an incomplete requisition you can use the Banner screen FPIREQN. Once you enter the screen, click the down arrow. This opens FPIRQST. You can query on any field (orgn, requestor, vendor, date, etc) by selecting F7 to initiate the query and then F8 to execute the query. If “N” appears in the “approved box”, the requisition is in the incomplete status.

C. Process for PURCHASE ORDER (PO) NSF PROCEDURES:

1. Buyer completes PO with insufficient funds.
2. PO goes to NSF queue (*Buyer unaware of this – PO is in limbo*)
3. The NSF approver has the option of:
   a. Over-riding the PO. This will not require any action by the requisition initiator.
   b. Disapproving the PO.
4. If the NSF approver “disapproves” a PO, the following email is automatically sent to the requisition initiator requesting funding. (This email is sent from the alias email address: NSFPO@fa.ua.edu and if the user replies to this message they will get a system error).

   **Subject:** NSF Purchase Order

   *Purchase Order PXXXXXXX has been denied due to insufficient operating budget. Please process a budget change to fund. Once the budget HAS POSTED, notify the buyer to re-open the PO and complete it again.*

   *This is an automated email message. Please do not reply.*

   *Thank you for your assistance in this matter.*
5. The initiator of the requisition (that has been converted to a PO) should prepare a budget change to fund. *The initiator also has the option of requesting the buyer to change the FOAP to one that has sufficient funds - but this option is not available for Contract & Grant FOAP’s (funds 2XXX)*.

6. Once the initiator has processed a budget change and it **HAS POSTED**, the **initiator must contact the buyer** and instruct them to re-open the PO and complete it again.
IX. POSITION GUIDELINES

Supplemental Pay Position Numbers (ZM’s and ZH’s)

An employee’s regular position number should never be used for any assignment other than that employee’s regular job assignment.

Supplemental pay has a separate set of position numbers based on ORG codes. Please contact the Budget Office if you aren’t sure which position number to use.

Helpful tips:

- **ZM** – the ‘M’ stands for Monthly. If an employee is an exempt monthly employee, use the ZM position. If an employee is an exempt employee but is getting a onetime supplemental pay for an hourly rate, still use the ZM position.
- **ZH** – the ‘H’ stands for Hourly. If an employee is a non-exempt hourly employee, use the ZH position. If an employee is hourly but is getting paid a flat rate or monthly rate, still use the ZH position.
- Check FZISBVW (salary budget view screen) for the Fund, ORG, Account and Program to determine if funding is needed. A budget change needs to accompany the PA or PA’s if the position doesn’t have sufficient funds.
- If option ‘8 – Supplemental Pay’ on the top of the PA form is selected, the PA should have a ZM or ZH number only.
- PA’s sent to the Budget Office must have a position number reflected including supplemental PA’s. If a new position, including a new supplemental position, is being created, the PA should not be prepared until HR establishes that position.

Guidelines for Undergraduate Student Positions (602200):

Undergraduate student positions should begin with an “S”. When appointing or reappointing undergraduate students, verify that the correct position number is used by reviewing the salary budget view screen (FZISBVW).

Enter the FOAP into the FZISBVW screen and click ‘Next Block’. If multiple student positions are available for that particular FOAP, the position number where permanent or temporary funding is available should be used.
In the example above, this ORG has 5 different positions available. When the department completes the PA form for an undergraduate assistant, position “S91022” should be used because it is the only position that starts with an “S” and has budgeted dollars associated with it. 

Undergraduate Student Position Tips:

- Use FZISBVW to verify the correct position number and to verify if there is enough budget to cover the appointment (if not, a temporary budget change should be processed and indicated on the PA).
- Very rarely will an undergraduate student need a NEW position number. Most ORG’s have an “S” position already created.
- Pay close attention to the Program code.

Guidelines for Graduate Student Position Numbers

- Unique position numbers (9XXXXX) are assigned for each graduate student position that is funded by State, other non-grant funds or funded partially from grants. Once a position number is established neither the assigned position title, position class (pcls) nor employee class (ecls) can be changed to accommodate a change in the position from semester to semester.

Example:

Position number 9XXXXX is established as a Graduate Research Assistant with a pcls of 42030, and an ecls of K4 (graduate student paid monthly). The title, pcls and ecls associated with a position number cannot be changed or used with a different title, such as
Graduate Administrative Assistant, with a pcls of 60030, and an ecls of K5 (graduate student paid bi-weekly). 9XXXXX will always be a Graduate Research Assistant with a pcls of 42030 and an ecls of K4.

If the work a graduate student is performing from one semester to the next changes (example: GTA to a GRA) a new position number will need to be assigned, unless the department already has a vacant position number for that particular position title and ecls.

- Only one individual (incumbent) can be assigned to a graduate student position number at a time, regardless of the FTE, except as defined below.

**Example:** John Doe and Jane Doe cannot both be assigned to position number 9XXXXX at the same time.

- When a graduate student position is charged to multiple distributions and a portion of that funding is from non-grant funds, the non-grant funded position number (9XXXXX) will be used on the Personnel Action (PA) form and the department's appropriate FOAPs listed.

- “P” position numbers - Position numbers beginning with “P” will no longer be assigned or used for graduate student positions and all existing “P” numbers used for graduate positions will be eliminated. If a PA is received that has a “P” number, a new position number will be assigned by HR and the department notified. There is one exception, a “P” number can be used when a graduate position is pooled – but those are **ONLY** for graduate students being paid bi-weekly (i.e. GSA, GAA, etc.). Contact Human Resources at 348-8213 for more information on pooled graduate student position numbers.

- CGM999 and CGH999 position numbers - Graduate student positions funded 100% by Grants (for purposes of this document, Grant is used to refer to any sponsored contract, grant or cooperative agreement) will use a common position number. For graduate students paid monthly from Grants, position number CGM999 should be used with position class 60050 and employee class K4. For graduate students paid hourly from Grants, position number CGH999 should be used with position class 60060 and employee class K5. Position numbers CGM999 or CGH999 are **ONLY** used when the graduate student’s funding is for a new student funded in total from Grants or changing from a non-grant funded position to a grant funded position.

- “Graduate Student – Monthly”, 60050 and “Graduate Student – Biweekly”, 60060 titles - These titles are **ONLY** to be used for graduate student positions funded 100% by Grants and used with position numbers CGM999 and CGH999 respectively.

- When the Graduate School or Human Resources receives a graduate student PA, the following items on the form should match the information located Banner.
  ```
  ➢ Position Number (located on NBAPOSN or NBIPORG)
  ➢ Organizational Number (located on NBAPBUD or NBIPORG)
  ➢ Position Title (located on NBAPOSN or NBIPORG)
  ➢ Position Class (pcls) (located on NBAPOSN)
  ➢ Employee Class (ecls) (located on NBAPOSN)
  ```

If there is a discrepancy between Banner and the PA the department will be notified and/or the PA returned for correction.

- A department can review a list of position numbers assigned to their organization by going to NBIPORG in Banner. To use this form enter the COA and the appropriate organization number and press enter to populate the organizational title. To populate the information on the form either click “Next Block” or press “Ctrl + Page Down”. If several position numbers are reflected use Page Up/Page Down or arrow keys to move up and down the page.
If you do not have access to this form please complete a Banner HR Security Access form by going to http://hr.ua.edu/benefits/documents/BannerHRAccessRequest11192007.pdf.

Example of NBIPORG:

- In the above NBIPORG example:
  
  (1) Position numbers 992401, 993044 and 993574 will be used for Graduate Teaching Assistant positions only;
  
  (2) Position number 992476 will be used for a Graduate Teaching Assistant-Grading position only;
  
  (3) Position number 993351 will be used for Graduate Research Assistant position only. If there are not any vacant position numbers available with the position title, pcs and ecls you need, contact Human Resources at 348-8213 to obtain a new position number.

- A department can view details about a particular position number by going to NBAPOSN in Banner. To use this form type in the position number and click “Next Block” or press “Ctrl + Page Down”. You can then review the details and verify the position class, position title, and employee class prior to submitting a PA for processing.

If you do not have access to this form please complete a Banner HR Security Access form by going to http://hr.ua.edu/benefits/documents/BannerHRAccessRequest11192007.pdf.

Example of NBAPOSN:
• A department is responsible for making the determination on what the most appropriate title is for a graduate student position based on the definitions provided by the Graduate School. This information can be located at http://graduate.ua.edu/publications/dept/guide3.html.

• A department is responsible for checking FZISBVW to determine budget availability based on FOAP and position number on the PA.

• “S” position numbers – “S” position numbers are **ONLY** used for undergraduate positions and should not be used in any case for graduate positions.

• Information on how to complete a personnel action form (PA) can be located at http://hr.ua.edu/benefits/documents/InstructionsforCompletingthePersonnelActionForm_001.pdf.
Spreadsheet Budgeting is an Excel-based budgeting tool supported by Banner. Although the University does not use this tool to load budgets, it is an excellent tool for querying Banner data. This tool requires the installation of “Banner” on your excel “Add-Ins”. This installation is handled through the University “Help Desk”. You also need access to this tool within Banner. This access is granted by the Budget Office upon request. Security for spreadsheet budgeting also follows the normal Banner Orgn Security.

A. INSTRUCTIONS:

1. Open Excel
2. Select “Add-Ins” from the top tool bar
3. Select Drop-down menu next to “Banner”
   Select “Connect to Database”
   Enter Bama Password and click “Connect”
4. Select Drop-down menu next to “Banner” again
   Hold cursor over “Spreadsheet Budgeting”
   From Menu select “Download Wizard”
5. Select “Operating Ledger”
   NEXT>>
6. Chart of Accounts:
   Highlight COA with mouse (select only one)
   NEXT>>
7. Fiscal Year Selection:
   Methods of Selection:
   a. All – Hold down Shift Key and hit Page Down key
   b. Range – Highlight the first one in the range, hold down the Shift Key
      and use the Down arrow until you reach the end of the desired range
   c. Multiple not in a range – Hold Control Key down and use mouse to
      highlight individual selections
   NEXT>>
8. Period Selection:
   Select a specific period. Note that each period is cumulative of prior periods.
   Or, highlight period 14 to include all YTD cumulative information.
   NEXT>>
9. Data Selection:
   Adopted Budget (all BD01 transactions – usually entered via COGNOS)
   Budget Adjustments (all BD02, BD12, BD04 and BD14 adjusting budget entries)
   Temporary Budget (only BD04 and BD14 budget entries)
   Budget Reservations (requisitions)
   Budget Encumbrances (PO’s etc)
   Year to Date Activity (all revenue/charges to-date)
   • You may select one, all, or various data fields using the “Methods of
     Selection” in number 7.
   NEXT>>
10. Commitment Type:
    Always select “Both”
    NEXT>>
11. “The Download Process is ready to begin;”
    NEXT>>
12. **Fund Code:**
   (Wait for screen to load all funds)
   Use “Methods of Selection” in number 7.
   NEXT>>

13. **Organization Code:**
   (Wait for screen to load all orgs)
   Use “Methods of Selection” in number 7.
   NEXT>>

14. **Account Code:**
   (Wait for screen to load all account codes)
   Use “Methods of Selection” in number 7.
   NEXT>>

15. **Program Code:**
   (Wait for screen to load program codes)
   Use “Methods of Selection” in number 7.

16. **Activity Code:**
   Make no selection
   NEXT>>

17. **Location Code:**
   Make no selection
   FINISH>>

18. Wait for information to completely download into Excel.
   **SAVE** the worksheet before you start the process of formatting.

**B. HELPFUL HINTS:**

- Format the amount columns as accounting with 2 decimal places.

- To calculate “Current Budget”, insert a column with the following formula:
  “Adopted Budget” + “Budget Adjustment”.

- To calculate “Permanent Budget”, insert a column with the following formula:
  “Adopted Budget” + “Budget Adjustment” – “Temporary Budget”

- To calculate the budget available, insert a column with the following formula:
  “Current Budget” (your calculated column) – “Budget Reservations” – “Encumbrances” – “Year to Date Activity”.
XI. EPRINT – BUDGET REPORTS

A. Banner Delivered Budget Statements

Eprint reports are generated for each chart of accounts. Each chart is stored in its own repository. Please note, when logging into eprint, repository you desire to search must be selected. (See screen shot below)

For April 2006 statements forward, enter your myBAMA user id and password and then select the "Banner Finance" Repository of your choice (more information on repositories is provided after the screen shot below). In order to view eprint statements for March 2006 and prior dates, continue to use your FRS 4-digit operator number, 6-character password, and choose the "FRS" Repository.

![Eprint Login Screen](image)

The default repository will be Banner Finance which corresponds to chart A. If your area has funds that are housed in charts other than A, the proper repository will need to be chosen in order to view eprint statements for that chart. Please see the reference table provided below.

<table>
<thead>
<tr>
<th>Repository</th>
<th>Applicable Chart</th>
</tr>
</thead>
<tbody>
<tr>
<td>Banner Finance</td>
<td>A</td>
</tr>
<tr>
<td>Banner Finance Alumni</td>
<td>N</td>
</tr>
<tr>
<td>Banner Finance Capstone</td>
<td>C</td>
</tr>
<tr>
<td>Banner Finance LSF</td>
<td>L</td>
</tr>
<tr>
<td>Banner Finance CTF</td>
<td>T</td>
</tr>
</tbody>
</table>
There are three primary reports available in eprint with budget views. **Summary reports and transaction detail reports are no longer combined into one report.** Each report is now separate.

<table>
<thead>
<tr>
<th>Report</th>
<th>Description</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>FGRBDSC</td>
<td>Budget Status</td>
<td>Summary information for fiscal-year-to-date funds and orgns</td>
</tr>
<tr>
<td>FRRGITD</td>
<td>Grant Inception to Date</td>
<td>Summary information for project-to-date funds</td>
</tr>
<tr>
<td>FGRODTA</td>
<td>Organization Detail Activity</td>
<td>Transaction detail information</td>
</tr>
<tr>
<td>F_CR_BUD_SUM</td>
<td>Budget Summary</td>
<td>Monthly budget summary that matches FZIBSUM by fund or orgn</td>
</tr>
</tbody>
</table>

Use the detail in FGRODTA for both fiscal-year and project-to-date activity. The transactions in this report will correspond with either FGRBDSC or FRRGITD above.

Please note, when searching on a specific organization, all related funds are returned in the eprint report. For example, on the FGRODTA report, you may enter your organization number of XXXXXXX and the report returns with 212 pages, which may seem unusually high. Each fund name and number is listed under the column heading of each page. In this instance, your operating fund of 11000 will be the first fund returned and detail of this report may range from pages 1-15. Page 16 may begin with the transaction detail for your next fund 12XXX and so forth.

**B. CURRENT SALARY STATUS REPORTS:**

Current Salary Status reports provide a list of all positions budgeted or charged within your orgn range and security. Only users with Master Budget Access can view the reports. These reports provide the name and title of the person currently in a particular position. The reports also provide position titles, distribution % per FOAP, annual salaries, budgets, current expenditures, encumbrances and remaining budget available.

There are two reports: “Current Salary Status” and “Current Salary Status IA”. These reports are scheduled to be run and placed on eprint the first Friday of each month. The data will be “as of” the last day of the prior month.

Due to the timing of “Encumbrance Recasting” for bi-weekly salaries, the balance available on these reports will be incorrect for a couple of months during the year. The Budget Office will verify the eprint report each month. If the report needs to be re-run after recasting, we will remove the existing report and replace it with a corrected report.

**C. OPERATING DEFICITS BY CATEGORY**

1. Report features:
   a. This report is scheduled to run after month end closing for the prior month. The “as of” date will reflect the period of the report.
   b. This report provides deficits by FOAP and categories (ex: revenue, operating, transfers etc…).
   c. This report will replace the monthly notice from the Budget Office.
   d. Security for this report follows current Banner orgn security.
2. Each deficit should be analyzed to determine:
   
a. If the deficit exists because of the timing of the report.
   b. If the deficit is due to an incorrect budget, incorrect charge or incorrect program code
   c. Revenue deficits may be allowed if the Budget Office has approved for the revenue to be estimated and budgeted before it is received. These are reviewed closely by the Budget Office. Prior approval must be given. Generally, revenue cannot be budgeted until it is received. Departments should monitor their revenue budgets closely and adjust accordingly.

3. Fiscal managers are responsible for:
   
a. Reviewing and analyzing this report each month.
   b. Funding true deficits.
   c. Correcting budget, charge or program errors.
# COMMONLY USED RULE CODES

Budgets Codes that go through the Budget Office (use form FZAJVCQ with these codes)

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>BD01</td>
<td>Original (Adopted) Budget</td>
</tr>
<tr>
<td>BD02</td>
<td>Permanent Budget</td>
</tr>
<tr>
<td>BD04</td>
<td>Temporary Budget</td>
</tr>
<tr>
<td>BD12</td>
<td>Permanent Budget (Budget Office use only)</td>
</tr>
<tr>
<td>BD14</td>
<td>Temporary Budget (Budget Office use only)</td>
</tr>
</tbody>
</table>

Budgets Codes that **DO NOT** go through the Budget Office (do **NOT** use form FZAJVCQ with these codes)

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>BDF5</td>
<td>Original Budget Facilities</td>
</tr>
<tr>
<td>BDF9</td>
<td>Revised Budget Facilities</td>
</tr>
<tr>
<td>BD05</td>
<td>Original Budget Accounting</td>
</tr>
<tr>
<td>BD09</td>
<td>Revised Budget Accounting</td>
</tr>
<tr>
<td>BD07</td>
<td>Original Budget Research</td>
</tr>
<tr>
<td>BD08</td>
<td>Revised Budget Research</td>
</tr>
</tbody>
</table>

Journal Entries and GAO's

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>FTF1</td>
<td>Journal Entries Facilities</td>
</tr>
<tr>
<td>JE30</td>
<td>Transfer Journal Entries</td>
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<tr>
<td>JE26</td>
<td>Journal Entries between charts</td>
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<tr>
<td>FT01</td>
<td>Journal Entries Accounting</td>
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<tr>
<td>JE15</td>
<td>Journal Entries – Research must use bank code 07</td>
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<tr>
<td>JE16</td>
<td>Journal Entries - Research must use bank code 07</td>
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DCB’s

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<tr>
<td>CR05</td>
<td>Cash Receipt-Accounting</td>
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Encumbrances

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<tr>
<td>EF10</td>
<td>Facilities Original Encumbrance</td>
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<td>EF32</td>
<td>Facilities Encumbrance Liquidation</td>
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<tr>
<td>EF02</td>
<td>Facilities Encumbrance Adjustment</td>
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<tr>
<td>E010</td>
<td>Accounting &amp; Research Original Encumbrance</td>
</tr>
<tr>
<td>E020</td>
<td>Accounting &amp; Research Encumbrance Adjustment</td>
</tr>
<tr>
<td>E032</td>
<td>Accounting &amp; Research Encumbrance Liquidation</td>
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</table>
XIII. MONTH END MECHANICAL SUMMARY

Mechanical entries provide a more efficient way to record transactions that are required each month. Two types of mechanical entries are run just prior to the closing of each month. The first type consists of journal entries for actual transactions and the second type are budget entries which follow actual transactions.

1. JOURNAL ENTRY MECHANICALS:

   a. MECHP: Construction in Progress (CIP) Capitalization Mechanical
      Records CIP and CIP capitalization expense for the month in the Investment in Plant
      Fund (97001)
   b. MECHQ1: Correct Program Code to Fund Default
      Corrects revenues and expenses charged to the wrong program codes to the default
      program codes on funds (excludes salaries and fringes that must be corrected
      manually).
   c. MECHQ2: Correct Program Code to Orgn Default
      Corrects revenues and expenses charged to the wrong program codes to the default
      program codes on orgns (excludes salaries and fringes that must be corrected
      manually).
   d. MECHQ4: Correct Program Code for current IA Fund to 900
      Corrects IA revenues and expenses charged to the wrong program codes to
      program “900” (excludes salaries and fringes that must be corrected manually).
   e. MECHQ6: Correct Program code for Graduate Tuition Remission Account
      Coded (605541) to 100
      Corrects graduate tuition remission expenses charged to the wrong program code to
      program code “100” excluding grant and auxiliary funds.
   f. MECHQ7: Correct Program Code for Auxiliary Funds to 900
      Corrects auxiliary fund revenues and expenses charged to the wrong program code
      to program code “900” (excludes salaries and fringes that must be corrected
      manually).
   g. MECHQ8: Correct Program code for Scholarship Account Codes to 800
      Corrects scholarship expenses charged to the wrong program code to “800”
      excluding grant and auxiliary funds
   h. MECHQ9: Correct Program Code to Fund default where 800 was used but for
      account codes that are not scholarship accounts
   i. MECHC1: Transfers Endowment Gains from Corpus Fund to Income Fund
   j. MECHA1: Fund Deficits – Chairs, Gift Funds, Bond Payment Funds
      Funds deficits in certain Chart A funds - Chairs (15XXX funds), Restricted Gift Funds
      (3XXXX) and Bond Payment Funds through foundation funds or other Chart A funds
      based on cash balances.
   k. MECHA2: Reinvestment of Endowment Income to Corpus and Reallocation of
      Endowment Income
      For one capstone fund to reinvest 10% of the endowment income back to the corpus
      fund per the Endowment Resolution. Also, for other endowment funds that require a
      reallocation of income among various FOAPS.
   l. MECHA3: Transfer to fund Fringe Benefits
      Records transfer to fund fringes for archaeology and cost share funds
      (budgeted by BUDMECHBC)
   m. MECHA4: Transfer to move Indirect Cost Recovery from ROH Arch to Arch
      S&S
      Records a transfer to move indirect cost recovery from ROH Arch to Arch Sales and
      Services (budgeted by BUDMECHBF)
   n. MECHA6: Correct Payroll Awards
      Moves payroll awards from the 604XXX range of accounts to the 781XXX range of
      accounts
   o. MECHA7: Funds Current Restricted Funds 11001 and 11002 for the month
      Funds 11001 and 11002 were established to have a separate operating budget for
      the departments without creating summer school and scholarship orgns for each
department. The revenue that covers the expenditures is in fund 11000. This entry will prepare a fund deduction from 11000 and a fund addition to 11001 and 11002 so that these funds will always have a zero fund balance. Also funds 94186 from 49088.

p. **MECHA8: Record Capitalization of Moveable Equip to correct account code**
Records a credit to capitalization expense for the Investment in Plant fund 97001 for moveable equipment purchases made during the month.

q. **MECHA9: Transfers Income to Fund 11000 Operations E&G**
Transfers income generated in two unrestricted endowment income funds 15502 and 15003 to funds 11000 & 30481 respectively. Also funds 91033 from 90335.

r. **MECHB1: Auxiliary Administrative Overhead**
Charges certain Auxiliary Funds for administrative overhead

s. **MECHB2: Capstone Administrative Overhead**
Charges certain Capstone funds administrative overhead

t. **MECHB3: Charge out Contras**
Charge out contra expenses to Athletics, Endowment Funds and Federal Loan Funds

u. **MECHB4: Transfers Land Management Rent and charges to Student Receivables**
Transfers Land Mgmt Rent and Transfers to Student Receivables (budgeted by BUDMECHBE)

v. **MECHB5: Transfers Eminent Scholar Endowment Income and Gains to Chart A**
Transfers eminent scholar endowment income and gains from Chart C to Chart A.

w. **MECHB6: Distributes Law School Foundation investment Income**
Distributes monthly investment income to LSF funds based on their cash balances and a percentage figured annually by the Foundation Accountant

x. **MECHB7: Distributes Alumni Investment Income**
Distributes monthly investment income to NAA funds based on their cash balances and a percentage figured annually by the Foundation Accountant

y. **MECHC2: Distributes Restricted Investment Income**
Distributes investment income to restricted funds

z. **MECHC3: Funds E&G 11XXX, IA fund, Culverhouse, Debt Service**
Funds deficit fund balances for E&G 11XXX, IA, Culverhouse and Debt Service funds

aa. **MECHC5: Reinvestment of investment and endowment income of foundations and other transfers**
Reinvests investment and endowment income to NAA and LSF corpus funds based on a percentage prescribed by the MOA. Two other transfers are included that move telemarketing income to the Telemarketing Maintenance Fund and Alumni Unrestricted Fund.

2. **BUDGET MECHANICALS:**

a. **BUDMECHAB: Alumni Budget Entry**
Budgets revenue transactions for Alumni in their Quasi Endowment Income or Quasi Endowment fund types to operating (not monitored by Budget Office)

b. **BUDMECHBA: Budgets Gift and Endowment Income and Gains**
Budgets income and gains to operating for funds types 16, 25, 27, & 29 but excludes funds 30100, 30153, 30233, 3099X and 52808.

c. **BUDMECHBB: Budgets centrally funded fringes for various E&G funds**
Budgets fringes to departmental accounts from central funding account

d. **BUDMECHBC: Budgets centrally funded fringes for Cost Share**
Budgets fringes to departmental accounts from central funding account (Follows accounting’s mechanical MECHA3)
e. **BUDMECHBE: Budgets other rent for Land Management**
   Budgets Land Management’s other rent transfers to Student Receivables to facilitate billings to the System’s Office (Follows accounting’s mechanical MECHB4)

f. **BUDMECHBF: Budgets Archaeology ROH to OAR**
   Budgets transfer to move indirect cost recovery from Archaeology ROH to Archaeology Sales & Services (Follows accounting’s mechanical – MECHA4)

g. **BUDMECHBG: Budgets Grant Income**
   Budgets investment income for Grants (not monitored by Budget Office)

h. **BUDMECHBH: Budgets Plant Fund Income**
   Budgets income for fiscal year and Renewal and Replacement (R&R) plant funds (not monitored by Budget Office)

i. **BUDMECHBI: Budgets transfers for gifts and endowments**
   Budgets all transfers for gift and endowment funds excluding the gains transfer (790106) to or from operating but also excludes funds 30239, 30909, 20992 & 30995.

j. **BUDMECHBJ: Budgets income and gains on certain unrestricted funds for CTF**
   Budgets income and gains for certain unrestricted fund types in chart T

k. **BUDMECHBK: Budget scholarships for most funds that have default orgns except cost share and grant**
   Budget scholarships for most funds that have default orgn because scholarships have special program code 800

l. **BUDMECHBN: Budgets income and gains from Budget Development Reserve Endowment.**

m. **BUDMECHBO: Budgets scholarships (7812XX) in funds 11000 and 11010.**

n. **BUDMECHBP: Budgets cell phone allowances (603301) from operating for all funds except cost share and grant funds.**

o. **BUDMECHBQ: Budgets Albright income.**