AGENCIES

# PERFORMANCE BUDGETING (PB) MANUAL
# FOR STAARS

**STATE OF ALABAMA ACCOUNTING AND RESOURCE SYSTEM (STAARS)**

**OPERATIONS PLAN MANUAL**

**FOR STATE AGENCIES**

**Welcome to STAARS Performance Budgeting!** STAARS Budgeting is the new system of record for budgeting for the State of Alabama. State agencies will continue to complete operations plan forms 8 and 9 using tabs within STAARS Budgeting. These forms will be rolled up to create the department Operations Plan packet that will be submitted to the Executive Budget Office through electronic workflow.

OPERATIONS PLAN FORMS

- Form 8 – Summary Operations Plan (system generated)
- Form 8 – Function and Fund Level
- Form 9 – Staffing Plan

Note: Form 9-Staffing Plan will be automatically generated by STAARS Budgeting. However, if your agency selects to modify object 0100 for Personnel Cost an updated Form 9 should be submit to EBO. You may find a template on EBO website. Attach the Form 9 to the Operations Plan using the Document Management tab. Additional details are included in these instructions.

**To Access STAARS Performance Budgeting (PB):**

STAARS Budgeting has a separate login URL and screen than STAARS Financials. Access to two different areas of STAARS will be required to complete your agencies Operation Plan. Operations Plan forms will be completed in the STAARS Performance Budgeting (PB) application. Once all forms are complete, access to STAARS infoAdvantage will be necessary to run the Operations Plan Packet generated in PB.

| | |
|---|---|
| To access Performance Budgeting (PB) | https://budget.staars.alabama.gov |
| To access reports in infoAdvantage | https://infoadv.staars.alabama.gov/BOE/BI |

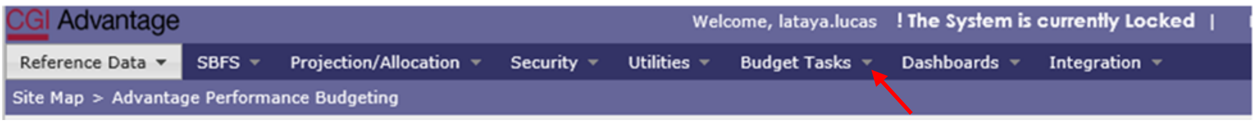
Agencies with access to STAARS Financials should access infoAdvantage through Financials.

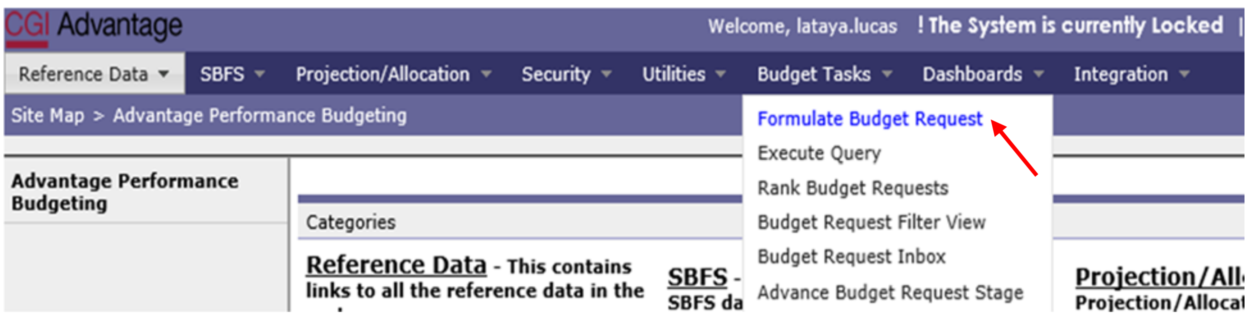
Please contact your Agency Implementation Lead (AIL) for login credentials or STAARS Support at 334-353-9000 or STAARS.Support@Finance.Alabama.gov.

# OPERATIONS PLAN MANUAL

# FOR STATE AGENCIES

After you login STAARS Budgeting, you will be on the **Welcome Page** for the application.  Begin by clicking the down arrow next to **Budget Tasks** on the task bar. Then select **Formulate Budget Request** on the drop down menu.



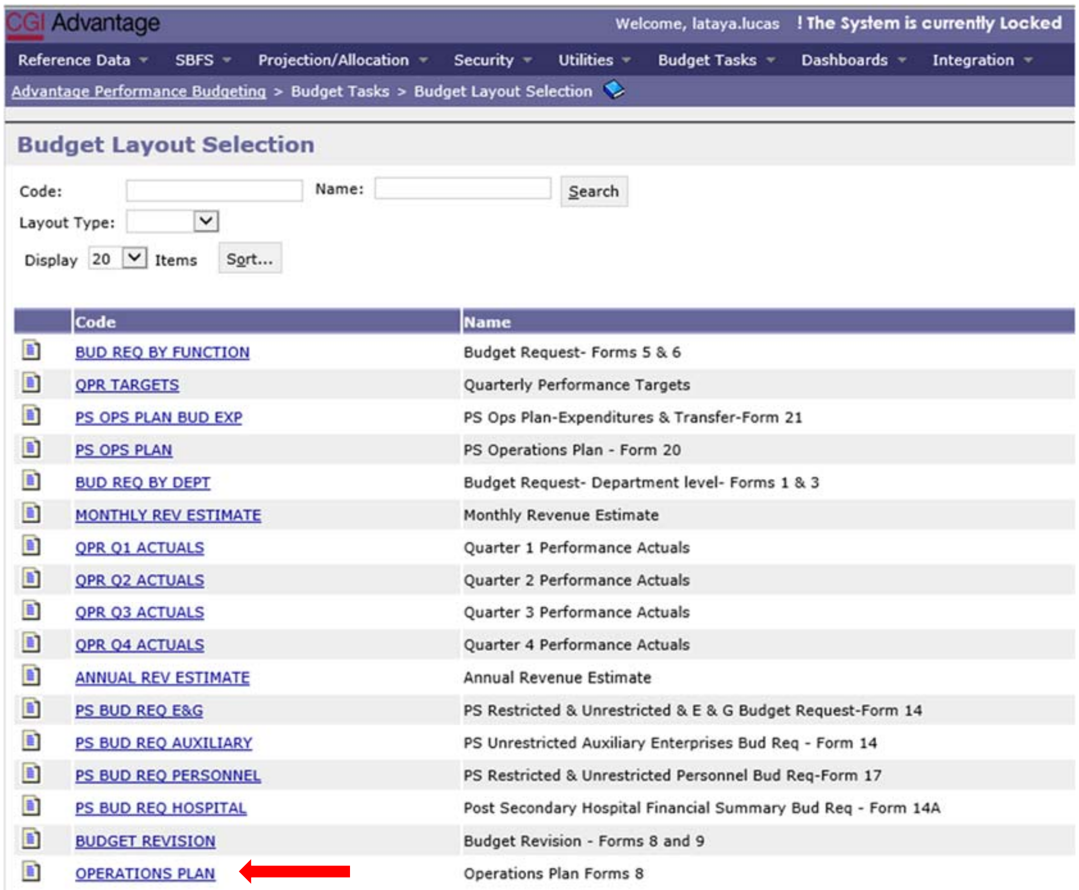

The **Budget Layout Selection** screen will appear.  Notice the code name used to identify Forms 8 and 9 used for Operation Plans.

**OPERATIONS PLAN** **Operations Plan Forms 8**

Note: Form 9-Employee Staffing Plan will be automatically generated by STAARS Budgeting after completion of Form 8.

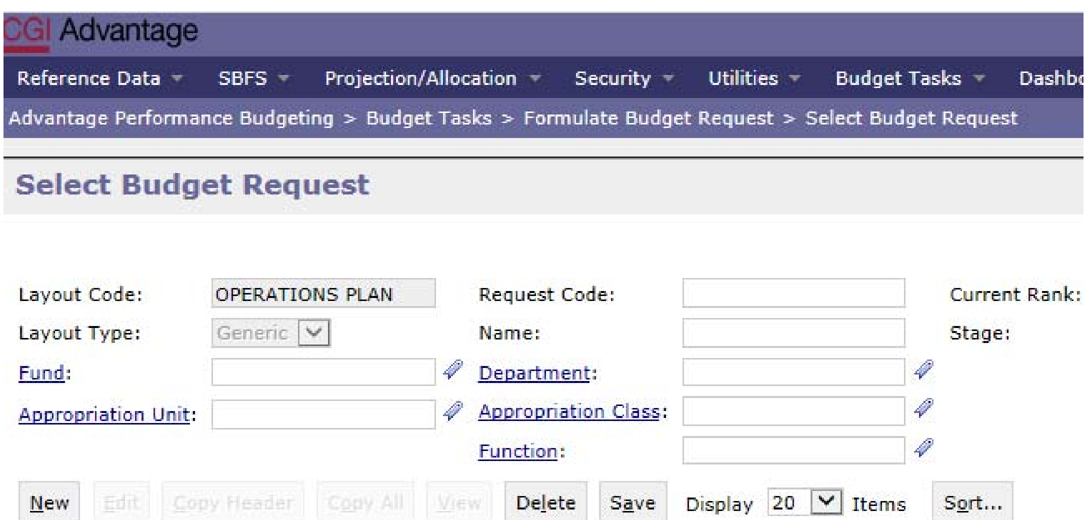
# FORMS 8 and 9 – BUDGET REVISION

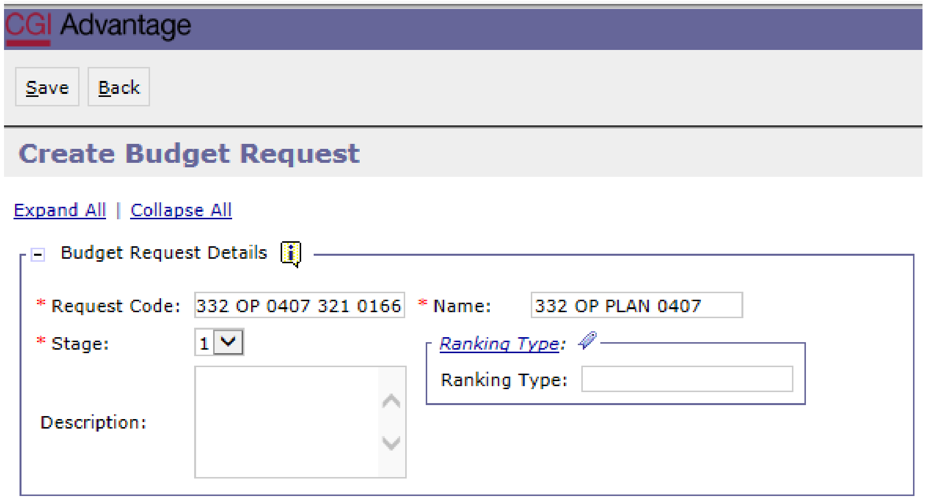
**Step 1.** Select OPERATIONS PLAN under the Code section to begin creating Form 8 for the revision.




**Step 2.** On the **Select Budget Request** screen click **New.**

The **Create Budget Request** screen appears.






**Step 3.** Complete the required fields in the **Budget Request Details** section by entering your agency information for the Form 8 as follows:

Enter data in the **Request Code** and **Name** fields using the following format for both:

**REQUEST CODE EXAMPLE: 332 OP 0407 321 0166**

| | |
|---|---|
| Agency Number: | 3 digit Department/Agency Number |
| Key the words: | OP |
| Fund# | 0407 |
| Appropriation Class #: | 321 |
| Function/Appr Unit #: | 0166 |

**NAME EXAMPLE: 332 OP PLAN 0407**

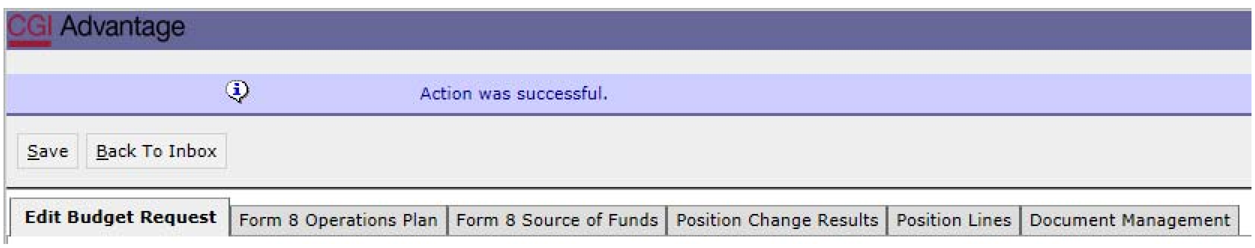
| | |
|---|---|
| Agency Number: | 3 digit Department/Agency Number |
| Key the words: | OP PLAN |
| FUND Number: | 0407 |

**Step 4.** Be sure to complete the **Dimensions** section at the bottom of the header page.

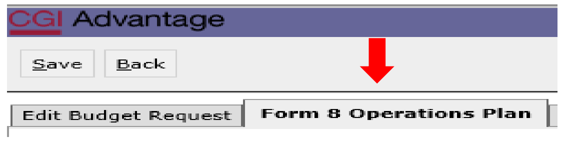

**Step 5.** Once complete click **Save** 

at the top of the page. The **Action was Successful** message will appear.

Supplementary tabs will emerge that will allow you to enter the department data for the Form 8 Operations Plan. The tabs are: **Form 8 Operations Plan, Form 8 Source of Funds, Position change Results, Position Lines** and **Document Management**.



# FORM 8 OPERATIONS PLAN TAB

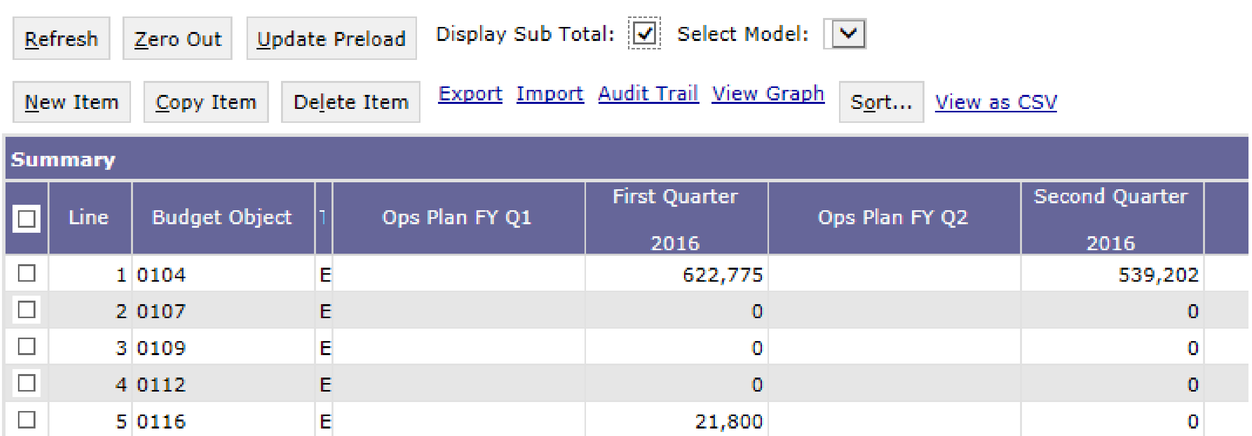



**Step 1.** Select the **Form 8 Operations Plan** tab.

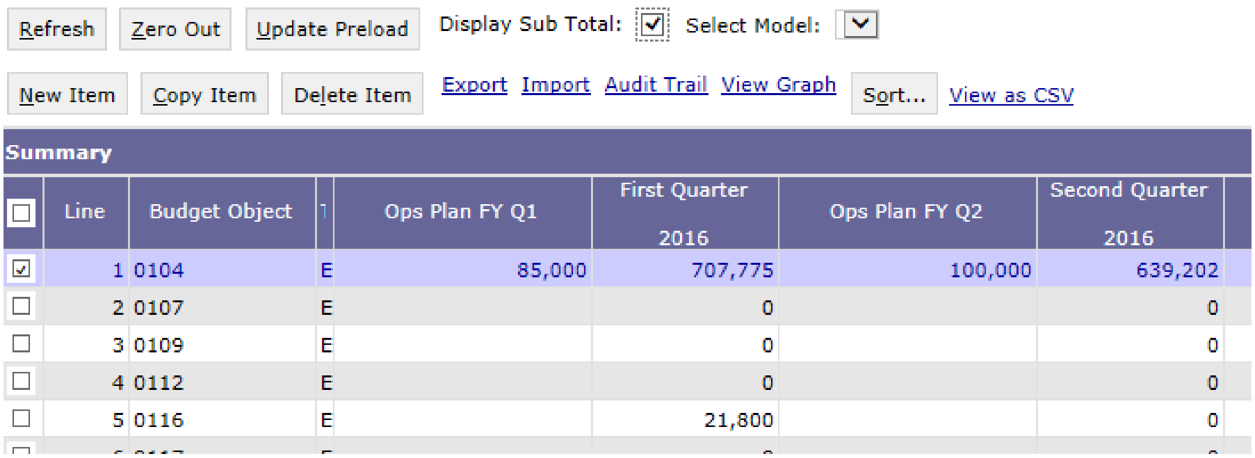
Once the tab opens, there will be data that has been prepopulated into budget objects for personnel and benefits. The information was generated from the SBFS or Data Dump which ultimately comes from GHRS payroll at June 1st.

**Agencies can make corrections directly on the Form 8 tab for all budget objects, including payroll and benefits or select to update the Data Dump prepopulated totals through the Position Lines tab.** Using the Position Lines tab will keep the Form 9 Staffing Plan in balance with the Form 8 Operations Plan and PB will automatically create the Form 9. If agencies select to update personnel cost by keying directly on the Form 8 tab, a separate Form 9 Staffing Plan will need to be added to the Document Management tab for submission to EBO. A Form 9 template can be found on the EBO website under Document and Forms.

**Step 2.** Enter correct dollar amounts in the **Ops Plan FY Q1** column.




| Line | Budget Object | T | Ops Plan FY Q1 | First Quarter 2016 | Ops Plan FY Q2 | Second Quarter 2016 |
|---|---|---|---|---|---|---|
| 1 | 0104 | E | | 622,775 | | 539,202 |
| 2 | 0107 | E | | 0 | | 0 |
| 3 | 0109 | E | | 0 | | 0 |
| 4 | 0112 | E | | 0 | | 0 |
| 5 | 0116 | E | | 21,800 | | 0 |

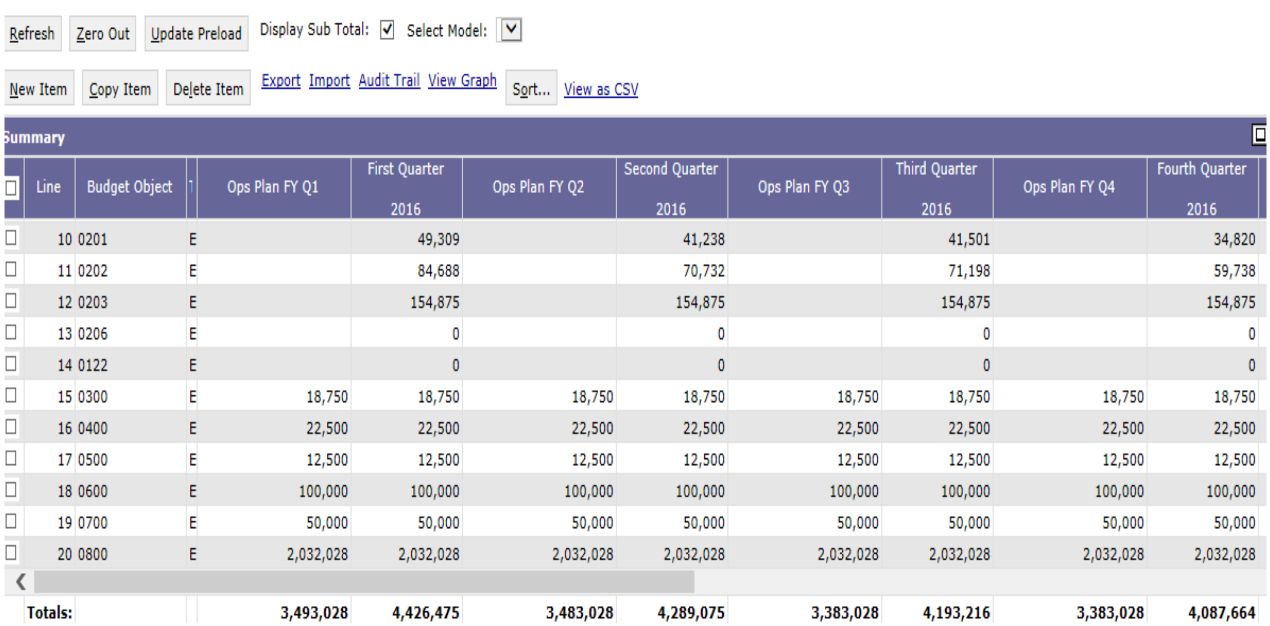



| Line | Budget Object | | Ops Plan FY Q1 | First Quarter 2016 | Ops Plan FY Q2 | Second Quarter 2016 |
|---|---|---|---|---|---|---|
| 1 | 0104 | E | 85,000 | 707,775 | 100,000 | 639,202 |
| 2 | 0107 | E | | 0 | | 0 |
| 3 | 0109 | E | | 0 | | 0 |
| 4 | 0112 | E | | 0 | | 0 |
| 5 | 0116 | E | | 21,800 | | 0 |

**Step 3.** Click **New Item** New Item to insert a line to add additional Budget Objects required for your agency. Our recommendation is for agencies to enter all lines (0100 through 1600) with zero if there are no anticipated expenses. Doing so, will mean that all revisions during the fiscal year would be coded as MOD and not NEW. This would also eliminate errors when processing revisions.

**Step 4**. Enter correct dollar amounts in the **Ops Plan FY Q1 through Q4** column.

**Step 5**. Click **Save** to review the totals for each quarter. **Action was Successful** message will also appear.




| Line | Budget Object | | Ops Plan FY Q1 | First Quarter 2016 | Ops Plan FY Q2 | Second Quarter 2016 | Ops Plan FY Q3 | Third Quarter 2016 | Ops Plan FY Q4 | Fourth Quarter 2016 |
|---|---|---|---|---|---|---|---|---|---|---|
| 10 | 0201 | E | | 49,309 | | 41,238 | | 41,501 | | 34,820 |
| 11 | 0202 | E | | 84,688 | | 70,732 | | 71,198 | | 59,738 |
| 12 | 0203 | E | | 154,875 | | 154,875 | | 154,875 | | 154,875 |
| 13 | 0206 | E | | 0 | | 0 | | 0 | | 0 |
| 14 | 0122 | E | | 0 | | 0 | | 0 | | 0 |
| 15 | 0300 | E | 18,750 | 18,750 | 18,750 | 18,750 | 18,750 | 18,750 | 18,750 | 18,750 |
| 16 | 0400 | E | 22,500 | 22,500 | 22,500 | 22,500 | 22,500 | 22,500 | 22,500 | 22,500 |
| 17 | 0500 | E | 12,500 | 12,500 | 12,500 | 12,500 | 12,500 | 12,500 | 12,500 | 12,500 |
| 18 | 0600 | E | 100,000 | 100,000 | 100,000 | 100,000 | 100,000 | 100,000 | 100,000 | 100,000 |
| 19 | 0700 | E | 50,000 | 50,000 | 50,000 | 50,000 | 50,000 | 50,000 | 50,000 | 50,000 |
| 20 | 0800 | E | 2,032,028 | 2,032,028 | 2,032,028 | 2,032,028 | 2,032,028 | 2,032,028 | 2,032,028 | 2,032,028 |
| Totals: | | | 3,493,028 | 4,426,475 | 3,483,028 | 4,289,075 | 3,383,028 | 4,193,216 | 3,383,028 | 4,087,664 |

## FORM 9 – POSITION LINES TAB

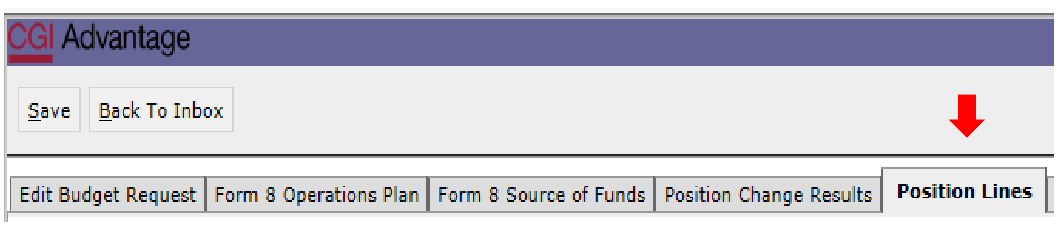
If the Form 8 requires changes to personnel costs that affect salaries, you may select to use the **Position Lines tab** to ensure the Form 9 automatically generated will agree to the total personnel costs in the Operations Plan at the agency level.

The **Position Lines Tab** is used along with the Salaries Benefits Forecasting System (SBFS) projections commonly referred to as the SBFS Data Dump Report. However, you must run the SBFS report through infoAdvantage to review the details.

The SBFS projects salaries (including longevity and merit raises, if eligible), Social Security (FICA) and Medicare (OASDI), Retirement and Insurance. The projection DOES NOT calculate overtime costs, subsistence pay, termination costs or FICA on instate travel, so be sure to include these planned expenditures, if necessary, on the Form 8 Operations Plan tab.

**Make note that the ONLY way to change Object 0104 and keep the Form 9 in balance is through the Position Lines tab. Adding an amount directly on the Form 8 will cause the infoAdvantage generated Form 9 to NOT be in agreement with personnel cost. Agencies will need to submit a separate Form 9 that agrees with the personnel cost reflected in the Operations Plan.**

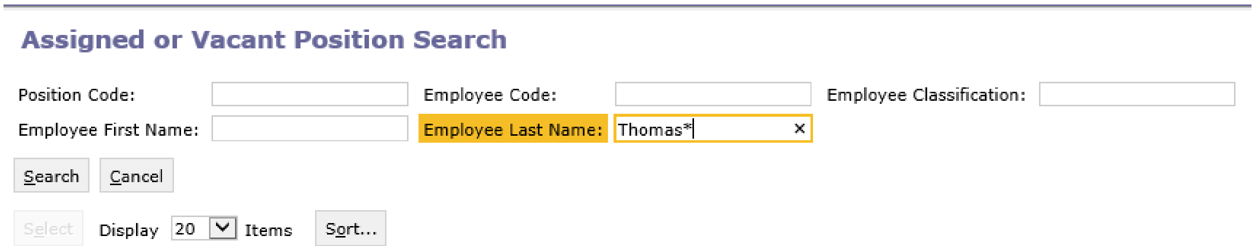
1. Select the **Form 9 Position Lines** Tab.




### A. REMOVE AN EMPLOYEE

2. To remove an employee from one chart of account to another, click on **Add Existing Position.**

The **Assigned or Vacant Position Search** screen displays.




**Step 3.** Enter any of the identifying information followed by a wildcard (*) for the specific employee you wish to remove from the particular chart of accounts using the following fields: Position Code, Employee Code, Employee classification, Employee First Name, or Employee Last Name then click **Search**.

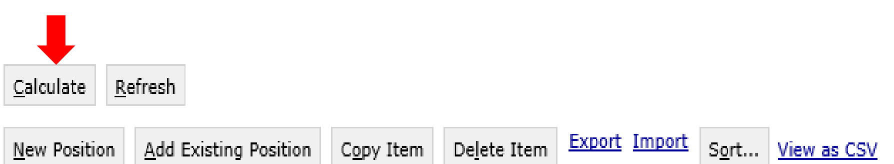
**Step 4.** Click on the box next to the employee, then click **Select** [Select] and the employee data will populate in the **Form 9 Position Lines** tab. Note that the employee's chart of account information populates in the Position Lines tab.

**Step 5**. Complete the remaining data fields on the **Position Lines** tab.

- Category
- Funding Start Date
- Funding End Date
- FTE
- Count
- Salary Percentage

| Category | Funding Start Date | Funding End Date | FTE | Count | Salary Percentage |
|---|---|---|---|---|---|
| | 10/01/2016 | 09/30/2017 | 1 | -1 | 100 |

**Step 6.** Once all of the required information has been entered click **Calculate**. Note the calculated salary and total cost fields are updated to reflect the changes.

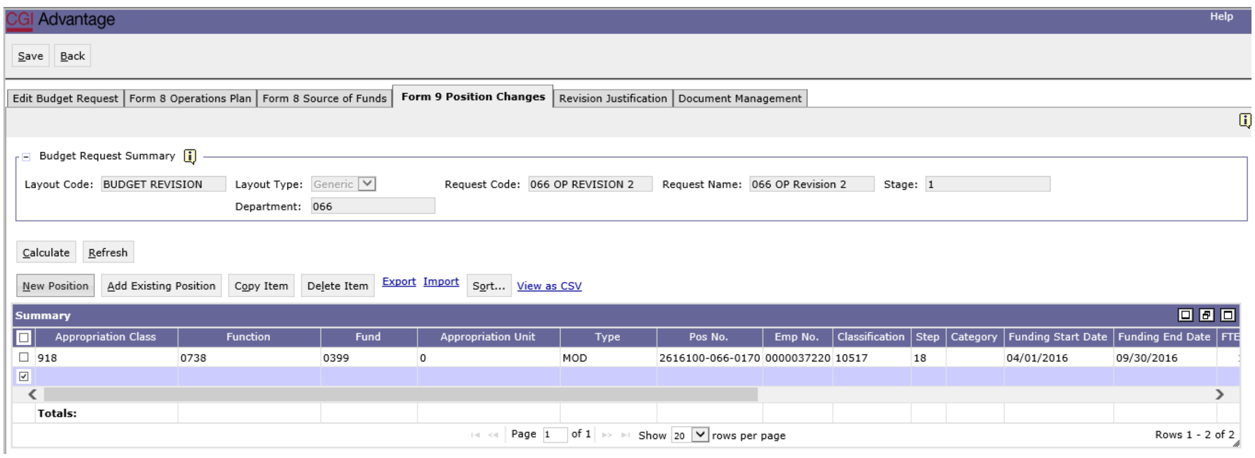



| Salary Percentage | Calculated Salary | Current Salary | Cost |
|---|---|---|---|
| 100 | -36,491 | | -56,067 |

**STAARS BUDGETING DEFAULT SETTING** - Without designating the specific Funding Start Date and Funding End Date when working with Position Line changes, STAARS Budgeting will default employee changes for the entire year. If the goal is to remove an employee for a partial year, specific dates must be entered.

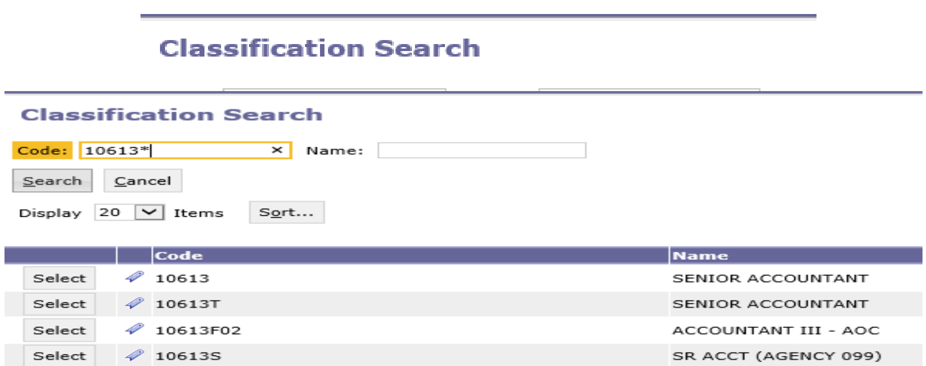
## B. ADD AN EMPLOYEE OR NEW POSTION

**Step 7.** To ADD a new hire or add an existing employee to a new chart of account combination, click **New Position**. A new line will be added to the **Form 9 Position Lines tab**.




**Step 8.** In the **Classification** field, right click and then click **Search**.


**Step 9.** The **Classification Search** page will display. Click **Search** again.



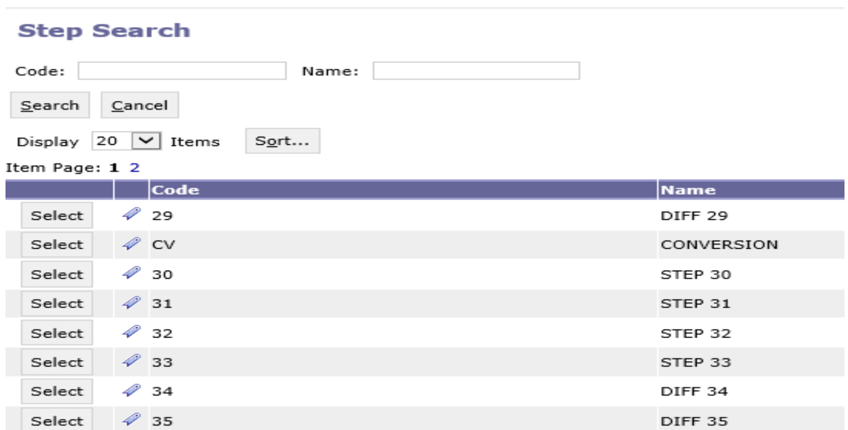

**Step 10.** Using the wildcard (*), search for the classification by **Code** or **Name** of the new hire or employee you are adding. Example: 10613*

**Step 11.** Select the **Classification**, and the data will populate in the **Form 9 Position Lines** tab.

**STAARS BUDGETTING DEFAULT SETTING** - For a new hire starting at a step greater than Step 1, you must identify the beginning step. If left blank, the system will default to the first step in which the salary range begins for this classification.

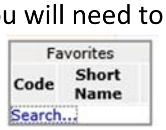
**Step 12.** In the **Step** field, right click, then click **Search.** 


**Step 13.** The **Step Search** screen will display, click **Search** again for the list to populate. Select the appropriate step.




**Step 14.** In the **PT or FT field, right click then click Search** 

to select the code for full time or part-time employee.


**Step 15.** Next, you will need to select the proper retirement category. In the **Category** field, right click then click **Search** 

**Step 16.** The **Category Search** screen will display. Click **Search** and the categories will display.

| | | Code | Name |
|---|---|---|---|
| Select | | DEFAULT | Default Benefits |
| Select | | NO BENEFITS | No Benefits |
| Select | | TIER 1- TEACHERS | Tier 1- Teachers |
| Select | | TIER 2- TEACHERS | Tier 2- Teachers |
| Select | | TIER 1- ALL OTHER | Tier 1- All Other State Agencies |
| Select | | TIER 2- ALL OTHER | Tier 2- All Other State Agencies |
| Select | | TIER 1- LAW ENFORCE | Tier 1- Law Enforcement |
| Select | | TIER 2- LAW ENFORCE | Tier 2- Law Enforcement |
| Select | | TIER 1- JUDICIAL | Tier 1- Judicial |
| Select | | TIER 2- JUDICIAL | Tier 2- Judicial |

**Step 17.** Select the appropriate category to calculate the desired retirement and insurance benefits. Once selected the data will populate in the tab.

**STAARS BUDGETING DEFAULT SETTING** - Without designating the specific **Funding Start Date and Funding End Date** when working with Position Line Changes, STAARS Budgeting will default employee changes for the entire year. If the goal is to remove an employee for a partial year, specific dates must be entered.

| Funding Start Date | Funding End Date |
|---|---|
| 10/01/2016 | 12/31/2016 |

**Step 18**. In the **FTE** field, enter the desired FTE percentage:

| FTE | Count | Salary Percentage | Benefit Percentage |
|---|---|---|---|
| 1 | 1 | 100 | 100 |

- 1 for a full-time employee
- .75 for a 75% part-time employee
- .50 for a 50% part-time employee
- .25 for a 25% part-time employee
- Or any other desired FTE percentage

**Step 19.** In the **Count** field, enter the number of employees that will be hired at this rate.

| FTE | Count | Salary Percentage | Benefit Percentage |
|---|---|---|---|
| 1 | 1 | 100 | 100 |

**Step 25.** In the **Salary Percentage** field you will need to key the equivalent percent for the FTE keyed (Step 18). If nothing is entered, both percentages will automatically calculate at 100%.

| Salary Percentage | Calculated Salary | Current Salary | Cost |
|---|---|---|---|
| 100 | -36,491 | | -56,067 |

**Step 26.** Once all fields have been added, click **Calculate**. Calculate

**Step 27**. Click **Save** Save and determine if the **Action was Successful**.

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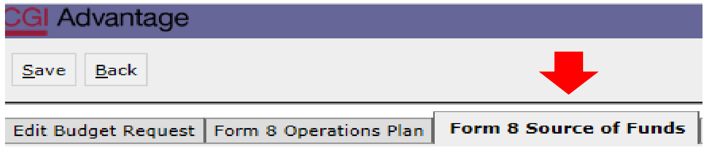
**NOTE:**

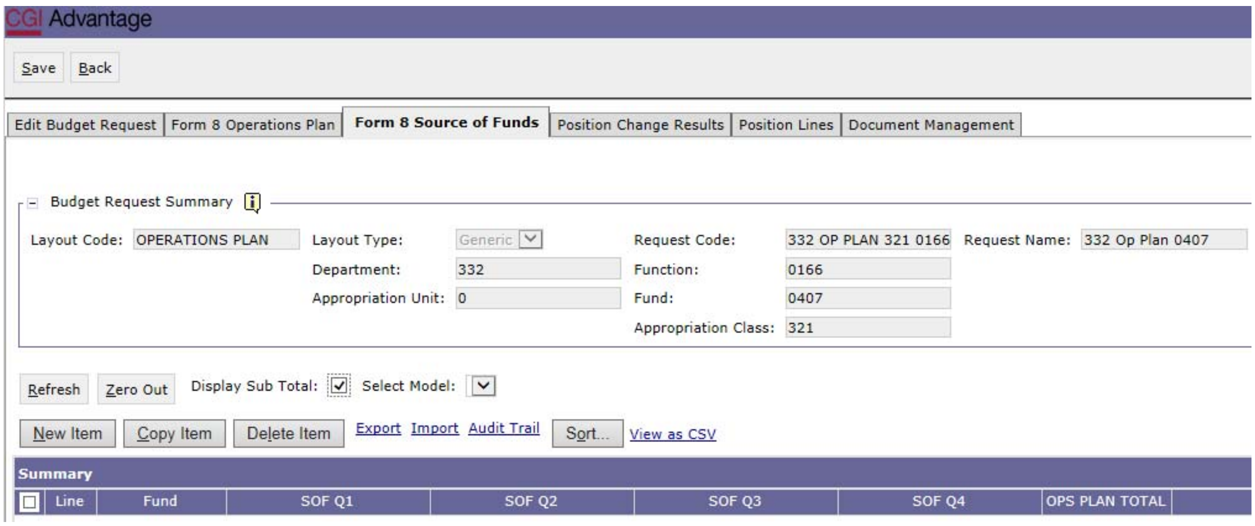
The same process would need to be followed to add an employee that is being moved from another set of chart of accounts elements. Because the employee is actually assigned to certain chart of account elements, you may remove the specific employee, but a specific employee may not be added to a different chart of accounts grouping and must be added using the classification. Therefore, when removing specific employees, be sure to make note of the classification, grade, step, and category when adding back the employee. This will ensure that amounts removed from one set of chart of accounts elements is the same amount added to a different set of chart of accounts elements.

To make adjustments for a promotion, REMOVE the specific employee for the dates desired, then create another line to ADD the employee back using the new classification, step, and category.

# FORM 8 SOURCE OF FUNDS TAB




**Step 1.** Select the **Form 8 Source of Funds** tab.




**Step 2.** Click **New Item** 

to insert a line for each fund used for the department planned expenditures.


**Step 3.** In the **Fund** column right click to search for available funds. Click **Search** 

the **Fund Search** screen will appear, click **Search** again for the list of funds to emerge. Select the fund code that corresponds with the source of fund(s) required for the revision.

All Sources of Funds available for your agency will display. To narrow down the Sources of Funds, in the Code field enter the 4-digit fund number followed by a wildcard (*). If new funds are needed, contact your budget analyst.

**Step 4.** Click **Search**.

CGI Advantage

**Fund Search**

Code: 0407* Name: Short Name: * Element Type

Parent Fund:

Financial Rollups Information

Category:

Search Cancel

Display 20 Items Sort...

| | Code | Name | Short Name | Element Type |
|---|---|---|---|---|
| Select | 0407-201 | Merchandise Sales (Gift Shop) | Merch&ise Sales | COA |
| Select | 0407-202 | State Lodgings Tax | ST Lodgings Tax | COA |
| Select | 0407-503 | Bureau of Tourism and Travel | Bureau of Touri | COA |

**Step 5.** Select the desired **Source of Funds** to populate in the tab.

**Step 6.** Enter the Q1-Q4 amounts from the Form 8 Operations Plan totals. Toggling between screens will ensure that the totals are OK and not a Mismatch.

| Ops Plan FY Q1 | First Quarter 2016 | Ops Plan FY Q2 | Second Quarter 2016 | Ops Plan FY Q3 | Third Quarter 2016 | Ops Plan FY Q4 | Fourth Quarter 2016 | Total 2017 |
|---|---|---|---|---|---|---|---|---|
| 85,000 | 707,775 | 100,000 | 639,202 | | 542,614 | | 455,203 | 2,344,794 |
| | 0 | | 0 | | 0 | | 0 | 0 |
| | 0 | | 0 | | 0 | | 0 | 0 |
| | 0 | | 0 | | 0 | | 0 | 0 |
| | 21,800 | | | | 0 | | 0 | 21,800 |
| | 0 | | | | 0 | | 0 | 0 |
| | 0 | | 0 | | 0 | | 0 | 0 |
| | 0 | | 0 | | 0 | | 0 | 0 |
| | 0 | | 0 | | 0 | | 0 | 0 |
| | 49,309 | | 41,238 | | 41,501 | | 34,820 | 166,868 |
| | 84,688 | | 70,732 | | 71,198 | | 59,738 | 286,356 |
| **3,493,028** | **4,426,475** | **3,483,028** | **4,289,075** | **3,383,028** | **4,193,216** | **3,383,028** | **4,087,664** | **16,996,430** |

**FORM 8 Operations Plan Totals**

**Form 8 Source of Funds Tab**

New Item Copy Item Delete Item Export Import Audit Trail View Graph Sort... View as CSV

**Summary**

| Line | Fund | SOF Q1 | SOF Q2 | SOF Q3 | SOF Q4 |
|---|---|---|---|---|---|
| 1 | 0407-503 | 4,426,475 | 4,289,075 | 4,193,216 | 4,087,664 |

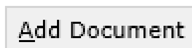
**Step 8.** Once all Sources of Funds have been entered on the tab, click **Save** Save to exit. **Action was Successful** will appear.

# DOCUMENT MANAGEMENT TAB

***All reports created in infoAdvantage will need to be attached in the appropriate form using the following steps.***

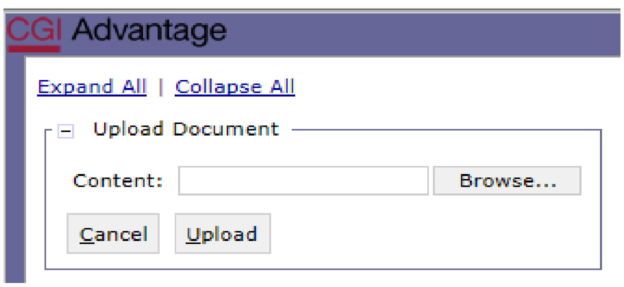
**Step 1.** Select the **Document Management** tab.


**Step 2.** Click **Add Document**.

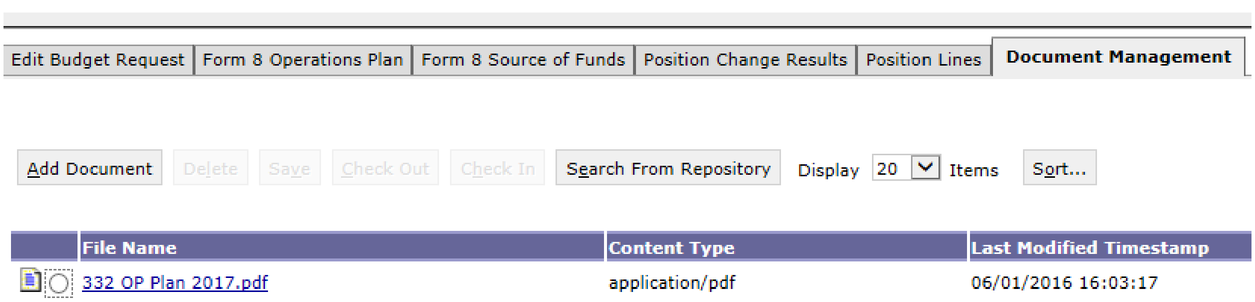



The following screen will display.

**Step 3.** Click **Browse** to locate your saved files.  Select your file which will populate in the Content: box.




**Step 4.** Click **Upload**. As your documents are attached to the form, they will display below.




***NOTE:*** Please be sure to include ALL documentation required for the Operations Plan: program change letters, draw down schedules, grants, etc.

Please use a similar format for naming these additional documents, examples:

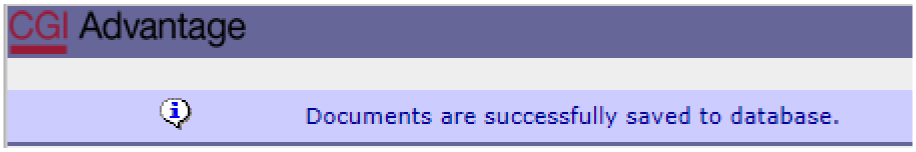
332 FY 17 Op Plan Program Change Letter

332 FY 17 Op Plan Grant Awards

**Step 5.** When all required forms have been attached in the **Document Management** tab, click on the **Edit Budget Request** tab.

**Step 6.** Once complete click **Save** 

at the top of the page. **Documents are successfully saved to database** message will appear.

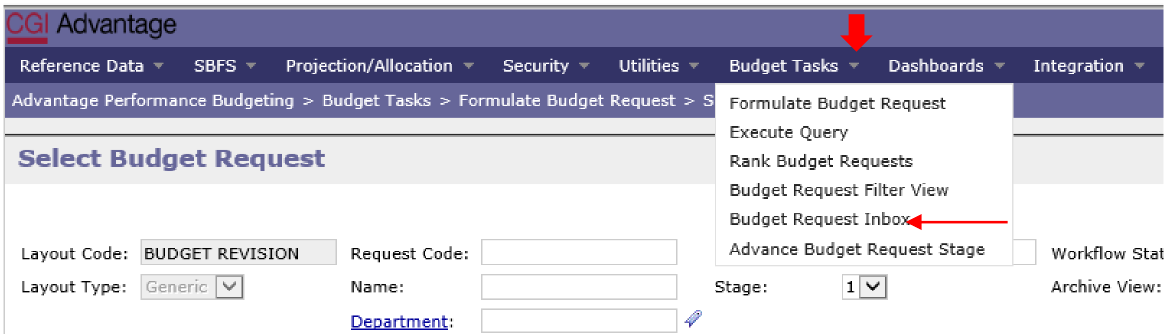



**Step 7.** Click **Back** 

then Continue to exit out of the form.

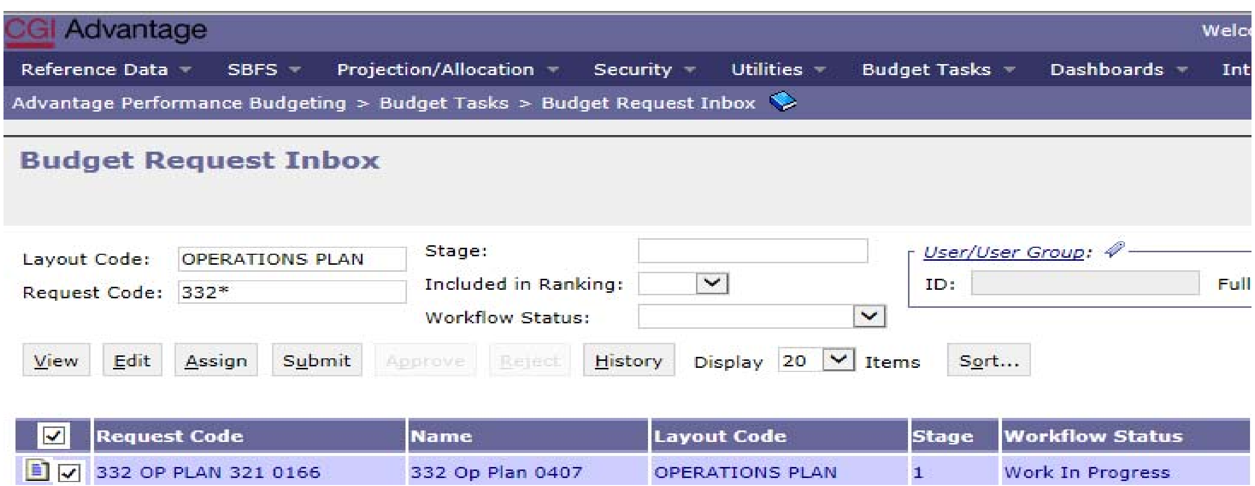
# SUBMISSION

To submit the final Operations Plan packet return to the **Budget Tasks** drop down menu.



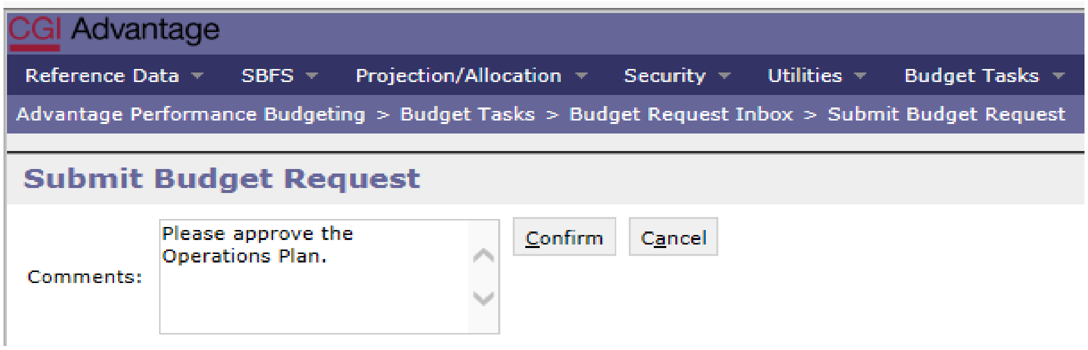

**Step 1.** Select **Budget Request Inbox**. The **Budget Request Inbox** will display.

**Step 2.** Select the Op Plan forms to be submitted. Note the action buttons that light up: View, Edit, Assign, Submit and History.



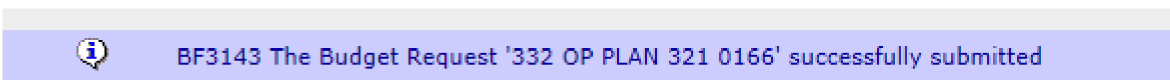

**Step 3.** Click **Submit.** 

The following screen displays, allowing you to add comments for the 1st Approver.




**Step 4.** Click **Confirm.** 

You will be taken back to the **Budget Request Inbox** and receive a message that the Operations Plan was **Successfully Submitted** to the 1st approver. Each document submitted will be identified by the name given during preparation.

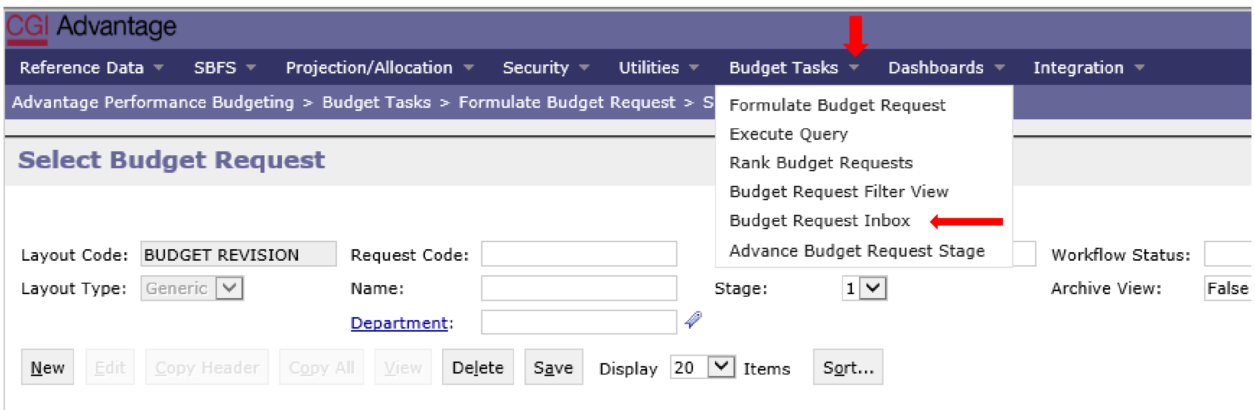


<u>**WORKFLOW**</u>

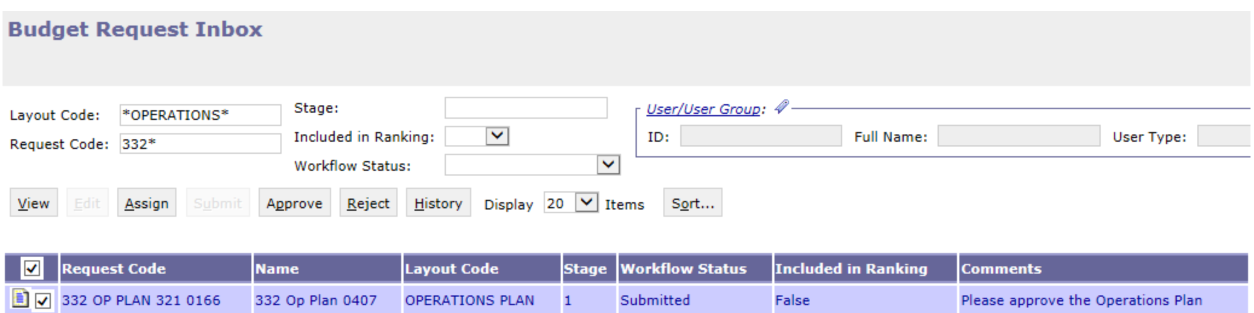
The 1st approver will receive an email. The email will include the comment (if provided) along with a link to STAARS Performance Budgeting.

> Please approve the Operations Plan https://STAARS-SHR.ALABAMA.GOV:1443/SH4APB1J1/Controller?EVENT_endState=%2F%2FBudgetInstance%2FMaintenance&code=332%20OP%20PLAN%20321%200166&EVENT_transition=budgetFormEmailQuery&layoutType=G&layoutCode=OPERATIONS%20PLAN

**Step 1.** Clicking the link will bring up the sign in page for PB. The 1st approver will need to open their **Budget Request Inbox** under **Budget Tasks**.



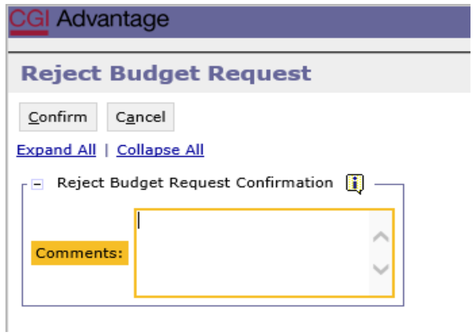

**Step 2.** The 1st approver will need to **select the Operations Plan Form 8s**.



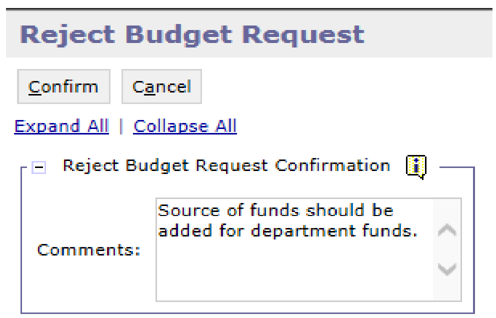

**Step 3.** To review the operations plan, click **View.** 

**Step 4.** After review, if the documents need editing, the 1st approver will need to click **Reject.** 

The following screen will appear.




**Step 5.** Use the **Comments** section to describe why the documents were rejected.




**Step 6.** Click **Confirm**. 

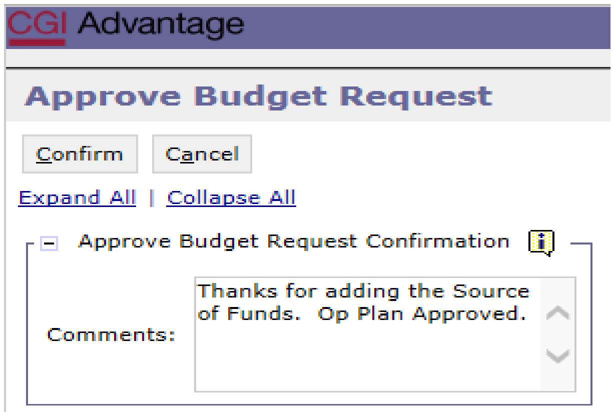
This will send the budget revision back to the person that submitted it to the 1st approver. The submitter will receive an email that includes the comment and a link to STAARS Budgeting to open the document and make the necessary corrections.

***NOTE:*** The submitter should make the required changes in STAARS Budgeting, rerun the reports in infoAdvantage and attach updated error reports (with no mismatch message) using the **Document Management** tab. The process should take place anytime corrections are to be made for a Budget Request, Operations Plan or Budget Revision. Then, the submitter can resubmit the packet(s) to the 1st approver.

**Step 7.** Once the 1st approver receives the corrected Operations Plan, reviews and determines that the packet is satisfactory, the 1st approver can use the email received to follow the link and now approve the Operations Plan by clicking **Approve.** 


**Step 8.** The **Approve Budget Request** screen displays allowing for **Comments** to be sent to the 2nd approver.

**Step 9.** Click **Confirm** to approve the budget revision.

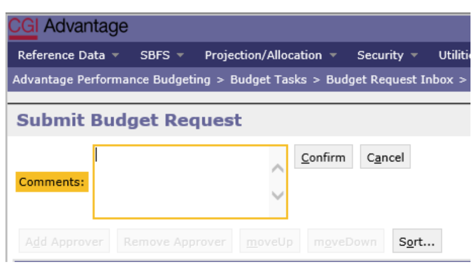



**Step 10.** The 2nd approver will receive an email notification with a link to STAAR Budgeting to login and approve.

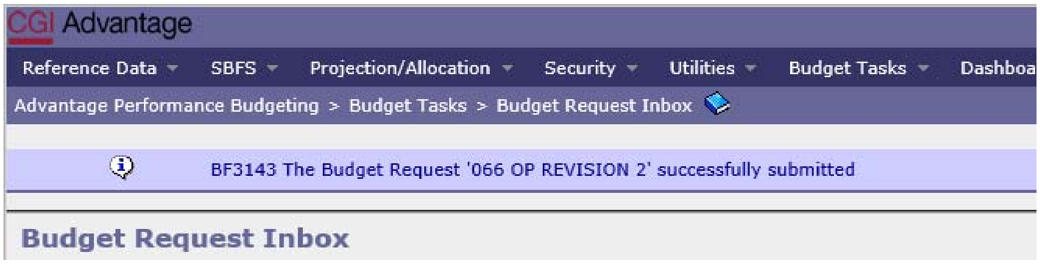
**NOTE:** The Operations Plan will stay in 1st approver's inbox until this approver submits the revision to the 2nd approver.

**Step 11.** To submit the Operations Plan to the 2nd approver, select the Operations Plan again, then click **Submit.** The **Submit Budget Request** screen displays.

**Step 12.** Click **Confirm** to submit the Operations Plan.



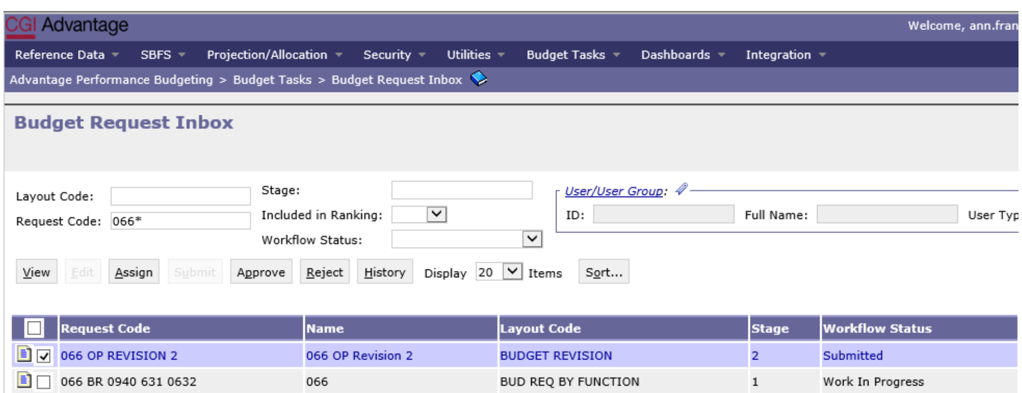
**Step 13.** You will return to the **Budget Request Inbox** and a message displays that the Budget Revision was **Successfully Submitted**. The 2nd approver receives an email in Microsoft Outlook indicating that the packet has been submitted.




## ADDITIONAL OPTION - REJECTED

The 2nd approver also has the options, to View, Approve, or Reject a form. If rejected, the form(s) are returned to the 1st approver. After the 2nd approver has reviewed the form, the form(s) are ready to approve and submit to the Executive Budget Office.

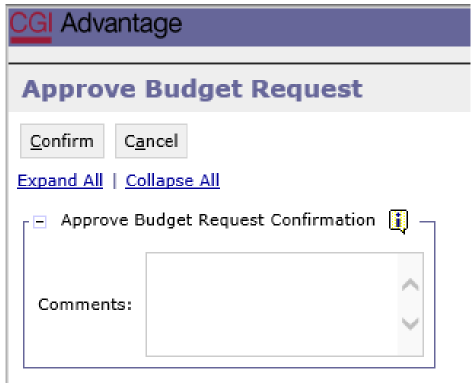
**Step 14.** Select the form(s), then click **Approve.** 

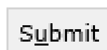

The **Approve Budget Request** screen displays, allowing for **Comments**.

**Step 15.** Click **Confirm** 

to approve the form(s).




***NOTE:*** The form(s) remains in the 2nd approver's **Budget Request Inbox** until it is submitted to the Executive Budget Office.

**Step 16.** Select the form(s), then click **Submit.** 

The **Submit Budget Request** screen displays.

**Step 17.** Enter any desired **Comments** for the Executive Budget Office, then click **Confirm.** 


**Step 18.** You will return to the **Budget Request Inbox** and should have a message that the revision was **Successfully Submitted**.

The process to Submit has been Completed!

**NOTE:** If rejected by the Executive Budget Office, the forms(s) will be returned to the 2nd approver for corrections. The 2nd approver will need to make the required changes, regenerate the reports in infoAdvantage and re-submit the form(s).