Executive Budget Office

Performance Budgeting (PB) Manual for Operation Plans

For use by Alabama State Post-secondary Education Institutions to submit an annual plan for operation of programs (§41-19-10, Code of Alabama 1975).

State Postsecondary Institutions Manual

Table of Contents

PERFORMANCE BUDGETING

OPERATIONS PLAN MANUAL

FOR POSTSECONDARY INSTITUTIONS

Welcome to STAARS Performance Budgeting! Performance Budgeting is the system of record for budgeting for the State of Alabama. Postsecondary institutions will complete operations plan Forms 20 and 21 using tabs within Performance Budgeting. These forms will be rolled up to create the institution Operations Plan packet that will be submitted to the Executive Budget Office through electronic workflow.

OPERATIONS PLAN FORMS

- Form 20 – PS Operations Plan
- Form 21 – PS Ops Plan – Expenditures & Transfers

TO ACCESS STAARS PERFORMANCE BUDGETING (PB):

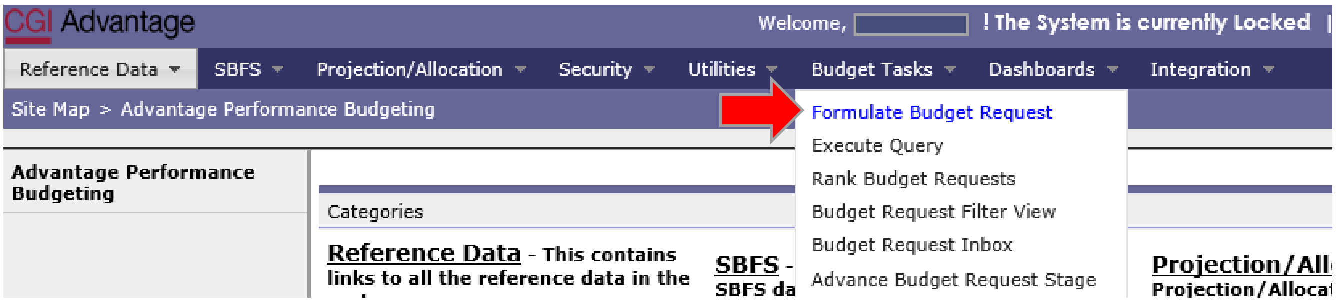
Performance Budgeting has a separate login URL and screen than STAARS Financials. Access to two different areas of STAARS will be required to complete the institution Operation Plan. Operations Plan forms will be completed in the STAARS Performance Budgeting (PB) application. Once all forms are complete, 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://staarsinfo.alabama.gov/BOE/BI
- Agencies with access to STAARS Financials should access infoAdvantage through Financials.

*Please contact **STAARS Support at 334-353-9000** or **STAARS.Support@Finance.Alabama.gov** for login or password assistance.

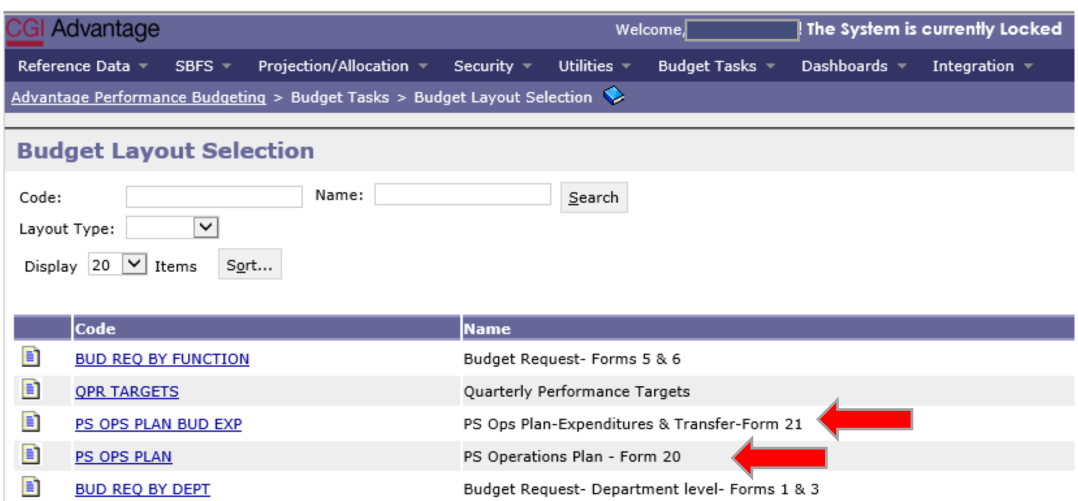
After you login to Performance Budgeting, you will be on the Welcome Page for the application. Begin by clicking **Budget Tasks** on the task bar.

Then select **Formulate Budget Request** on the drop-down menu.



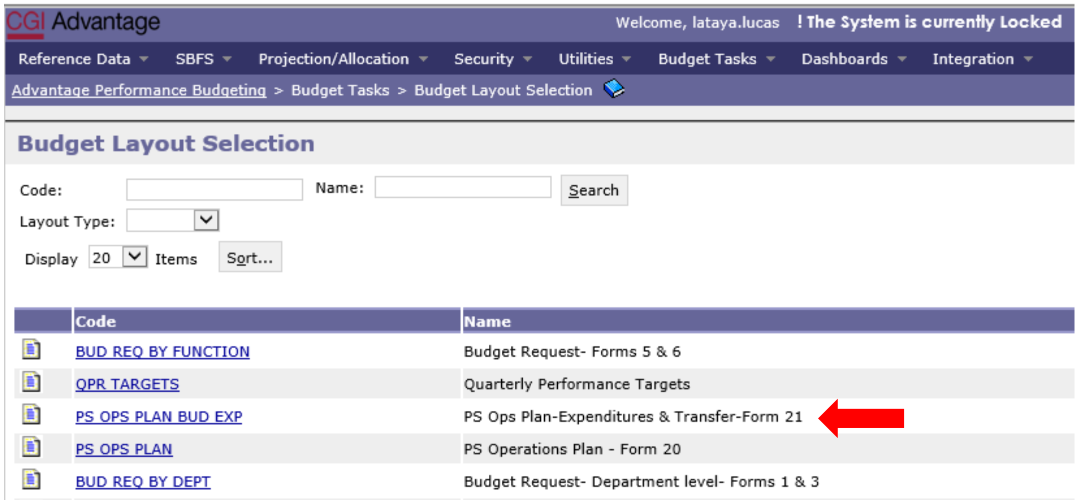
The **Budget Layout Selection** screen will appear. Below are the code names used to identify Forms 20 and 21 used for Operation Plans.

- **PS OPS PLAN BUD EXP   - PS Ops Plan-Expenditures & Transfer-Form 21**
- **PS OPS PLAN - PS Operations Plan – Form 20**

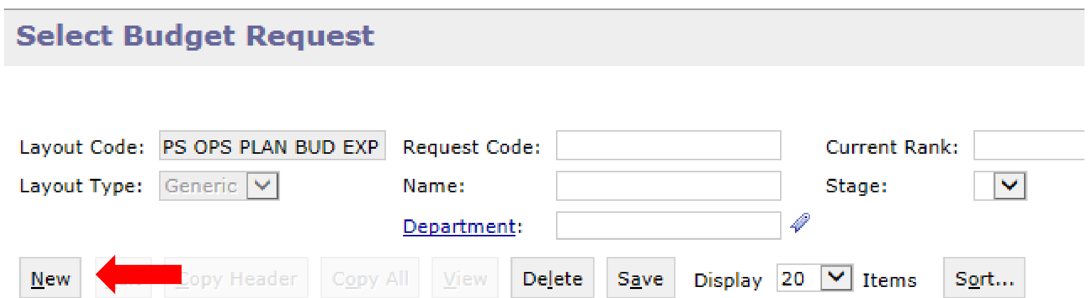


FORM 21 – PS OPERATIONS PLAN

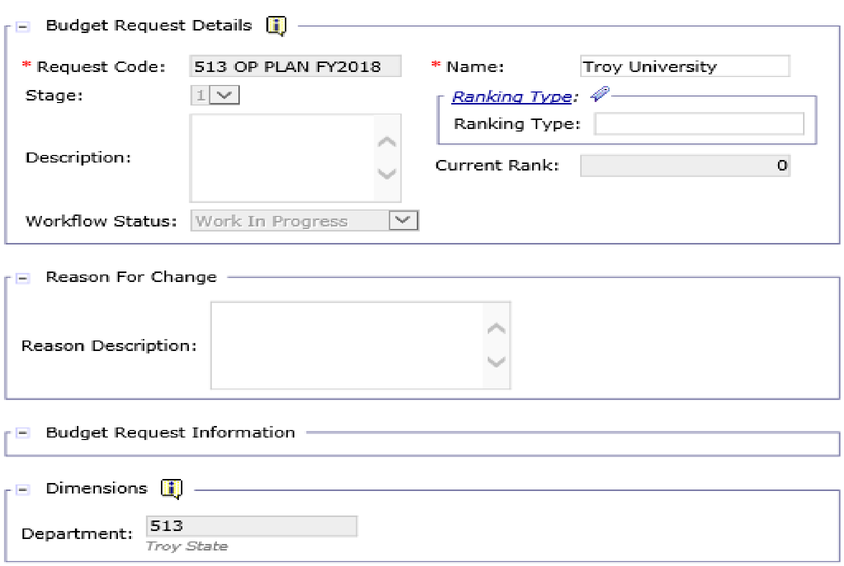
Step 1. Select **PS OPS Plan BUD EXP** under the Code section to begin creating Form 21.



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 institution information for the Form 21 as follows:

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

REQUEST CODE EXAMPLE: 513 OP PLAN FY20**

Agency Number: 3-Digit Institution Number

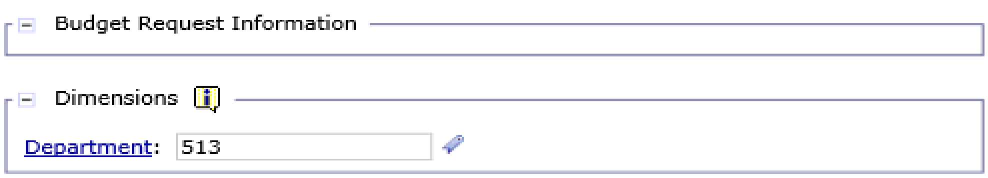
Key the words: **OP PLAN**

Key the words: **FY20****

NAME EXAMPLE: TROY UNIVERSITY - Form 21

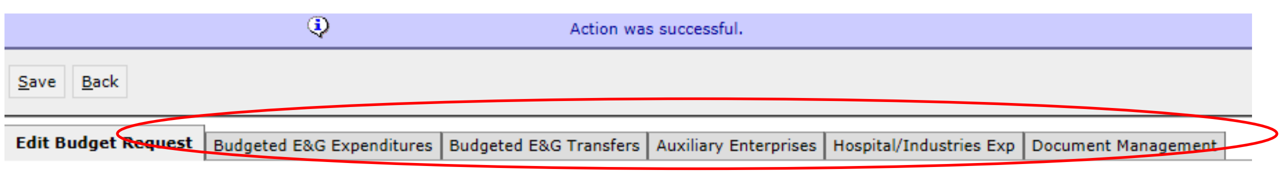
Name: Use the University Name - Form 21

Step 4. Complete the **Dimensions** section at the bottom of the header page by adding the institution's 3-digit number.



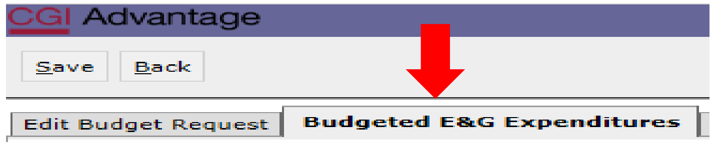
Step 5. Once complete click **Save.** The **Action was Successful** message will appear.

Supplementary tabs will emerge that will allow you to enter the data for the Form 21 Expenditures. The tabs are: **Budgeted E&G Expenditures, Budgeted E&G Transfers, Auxiliary Enterprises, Hospital/ Industries Exp,** and **Document Management**.



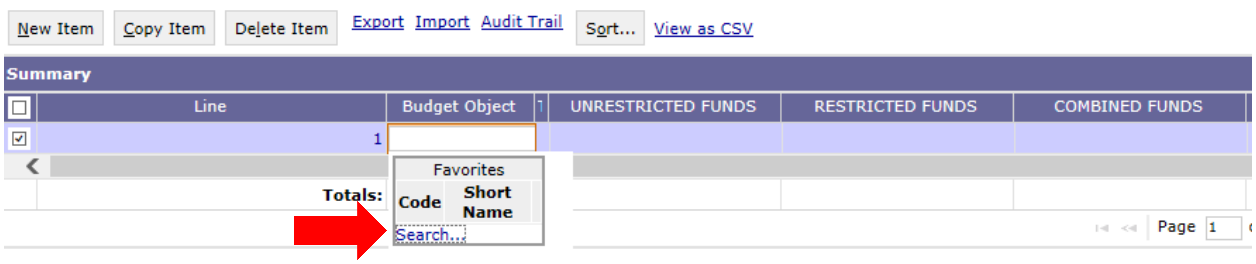
<u>**BUDGETED E&G EXPENDITURES TAB**</u>

Step 1. Select the **Budgeted E&G Expenditures** tab.

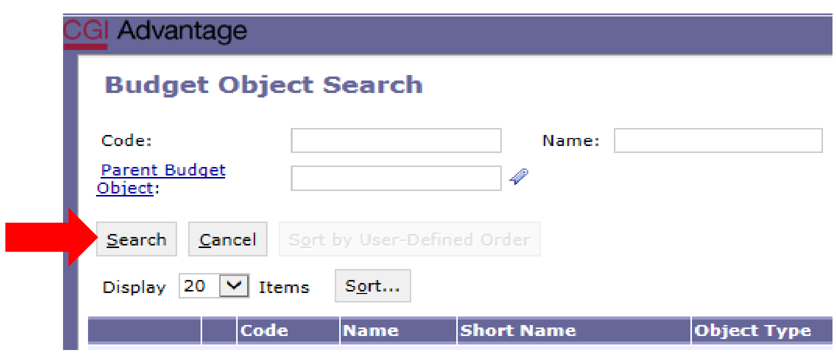


Step 2. Click **New Item** to insert a line to add unrestricted and restricted funds for the first Budget Object expense line.

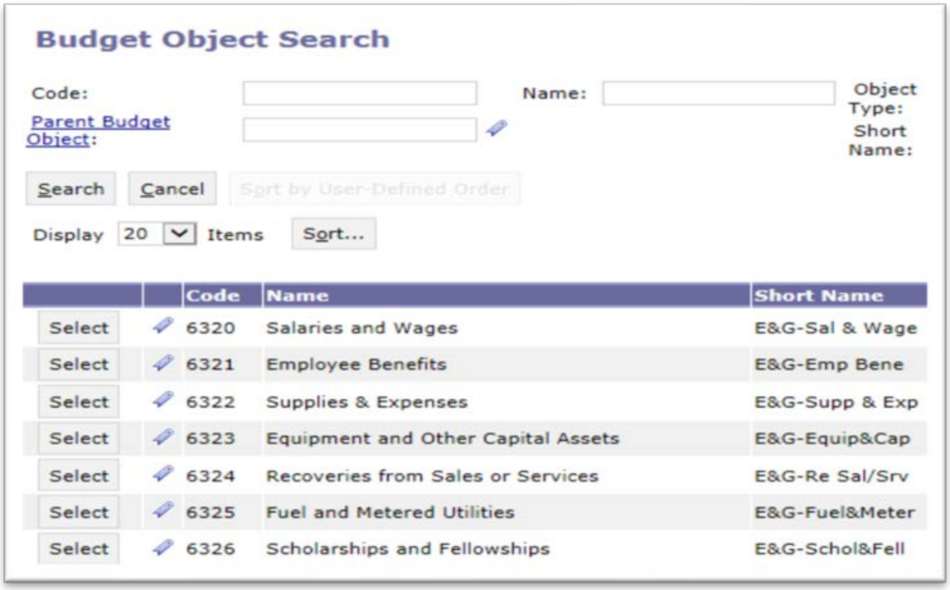
Step 3. To determine which line of funding to report on each line, <u>right click</u> in the **Budget Object** field. Then, click **Search**.



Step 4. The **Budget Object Search** screen will appear. Click **Search** again**.**



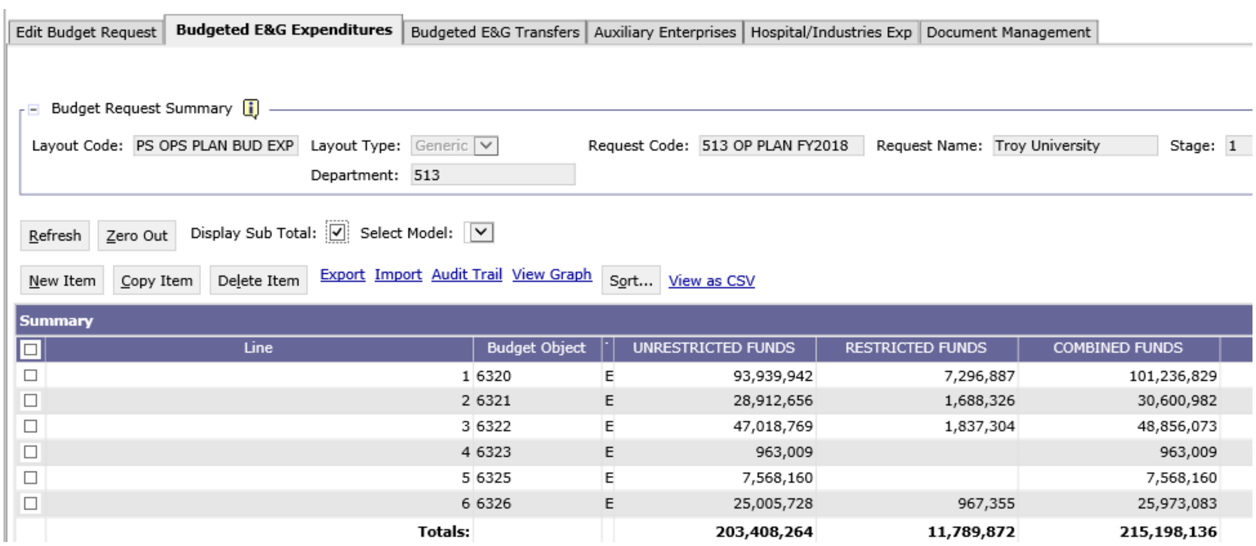
The **Budget Object Search** screen will open with the list of budgeted E&G expenditures.



		Code	Name	Short Name
Select		6320	Salaries and Wages	E&G-Sal & Wage
Select		6321	Employee Benefits	E&G-Emp Bene
Select		6322	Supplies & Expenses	E&G-Supp & Exp
Select		6323	Equipment and Other Capital Assets	E&G-Equip&Cap
Select		6324	Recoveries from Sales or Services	E&G-Re Sal/Srv
Select		6325	Fuel and Metered Utilities	E&G-Fuel&Meter
Select		6326	Scholarships and Fellowships	E&G-Schol&Fell

Step 5. Select the appropriate code for each line. Follow steps 2-4 to complete Form 21 E&G expenditures for the institution.

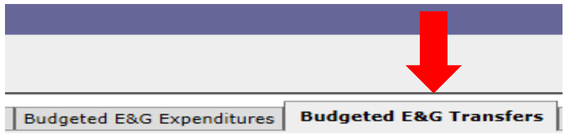
Step 6. Click **Save** to review the Combined Funds (totals). **Action was Successful** message will also appear.



Line	Budget Object		UNRESTRICTED FUNDS	RESTRICTED FUNDS	COMBINED FUNDS
1	6320	E	93,939,942	7,296,887	101,236,829
2	6321	E	28,912,656	1,688,326	30,600,982
3	6322	E	47,018,769	1,837,304	48,856,073
4	6323	E	963,009		963,009
5	6325	E	7,568,160		7,568,160
6	6326	E	25,005,728	967,355	25,973,083
Totals:			**203,408,264**	**11,789,872**	**215,198,136**

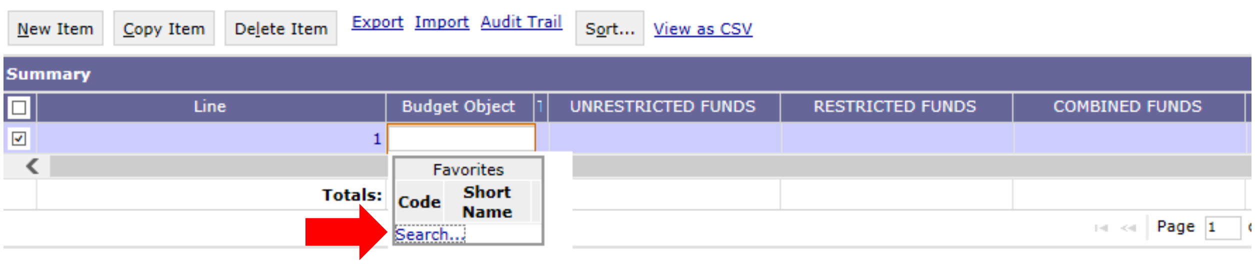
BUDGETED E&G TRANSFERS TAB

Step 1. Select the **Budgeted E&G Transfers** tab.

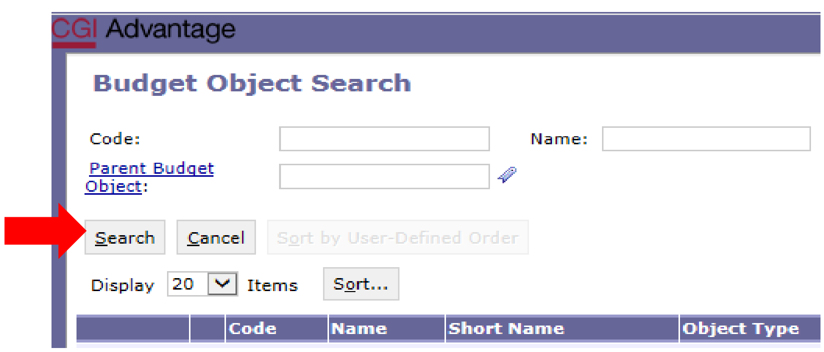


Step 2. Click **New Item** to insert a line to add unrestricted and restricted funds for the first Budget Object expense line.

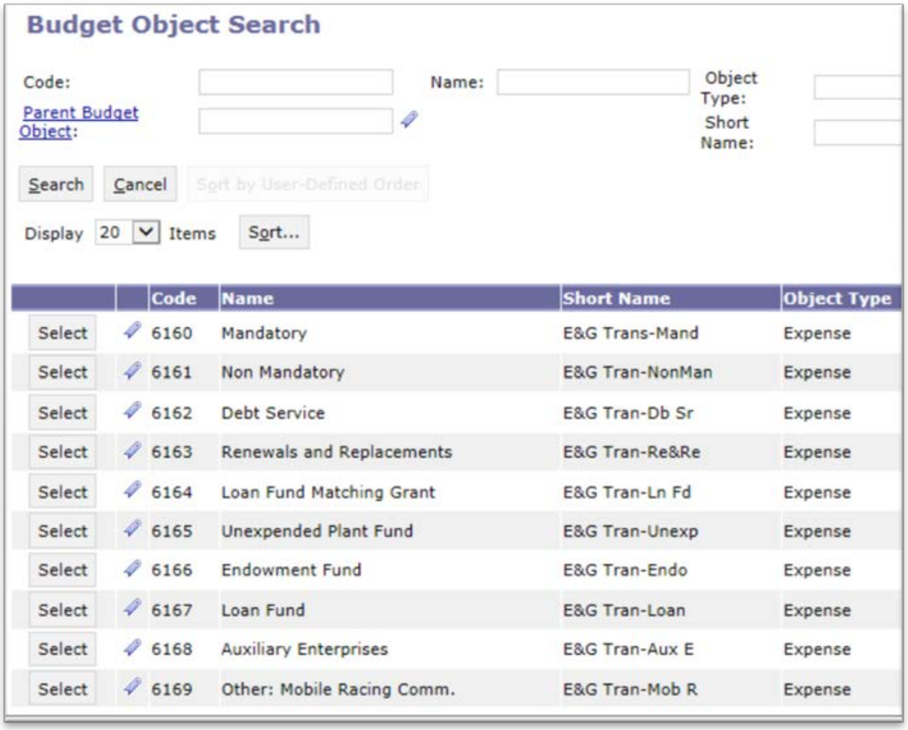
Step 3. To determine which line of funding to report for each line, right click in the **Budget Object** field. Then click **Search**.



Step 4. The **Budget Object Search** screen will appear. Click **Search**.



The **Budget Object Search** screen will open with the list of budgeted E&G transfers.



Budget Object Search

Code: Name: Object Type:

Parent Budget Object: Short Name:

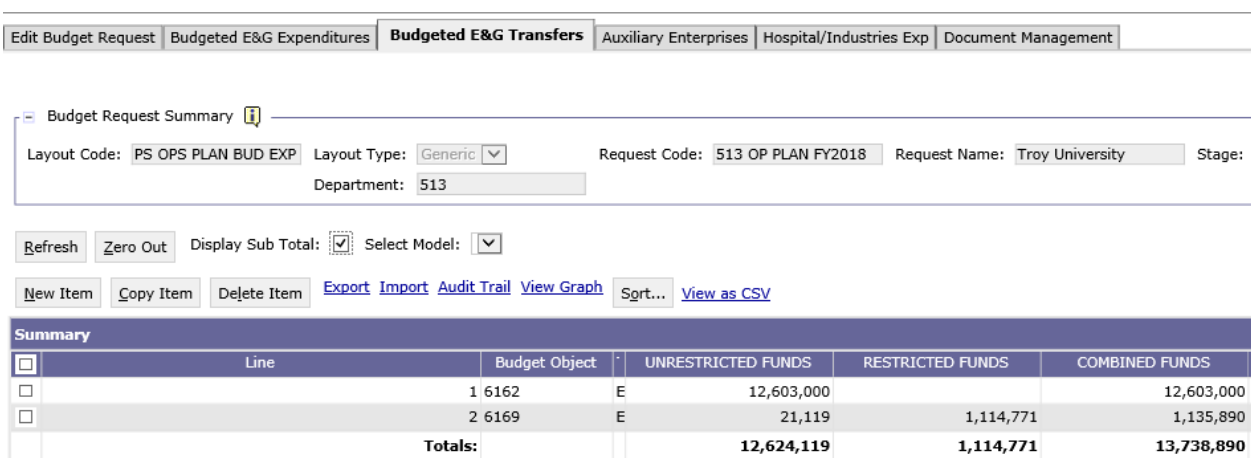
Search Cancel Sort by User-Defined Order

Display 20 Items Sort...

	Code	Name	Short Name	Object Type
Select	6160	Mandatory	E&G Trans-Mand	Expense
Select	6161	Non Mandatory	E&G Tran-NonMan	Expense
Select	6162	Debt Service	E&G Tran-Db Sr	Expense
Select	6163	Renewals and Replacements	E&G Tran-Re&Re	Expense
Select	6164	Loan Fund Matching Grant	E&G Tran-Ln Fd	Expense
Select	6165	Unexpended Plant Fund	E&G Tran-Unexp	Expense
Select	6166	Endowment Fund	E&G Tran-Endo	Expense
Select	6167	Loan Fund	E&G Tran-Loan	Expense
Select	6168	Auxiliary Enterprises	E&G Tran-Aux E	Expense
Select	6169	Other: Mobile Racing Comm.	E&G Tran-Mob R	Expense

Step 5. Select the appropriate code for each line. Follow steps 2-4 to complete Form 21 E&G transfers for the institution.

Step 6. Click **Save** to review the Combined Funds (totals). **Action was Successful** message will appear.



Edit Budget Request | Budgeted E&G Expenditures | Budgeted E&G Transfers | Auxiliary Enterprises | Hospital/Industries Exp | Document Management

Budget Request Summary

Layout Code: PS OPS PLAN BUD EXP Layout Type: Generic Request Code: 513 OP PLAN FY2018 Request Name: Troy University Stage:

Department: 513

Refresh Zero Out Display Sub Total: Select Model:

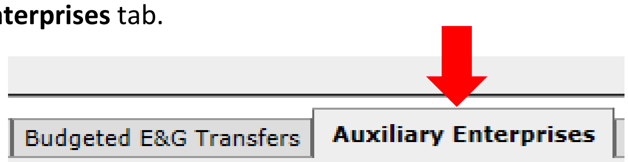
New Item Copy Item Delete Item Export Import Audit Trail View Graph Sort... View as CSV

Summary

Line	Budget Object		UNRESTRICTED FUNDS	RESTRICTED FUNDS	COMBINED FUNDS
1	6162	E	12,603,000		12,603,000
2	6169	E	21,119	1,114,771	1,135,890
Totals:			**12,624,119**	**1,114,771**	**13,738,890**

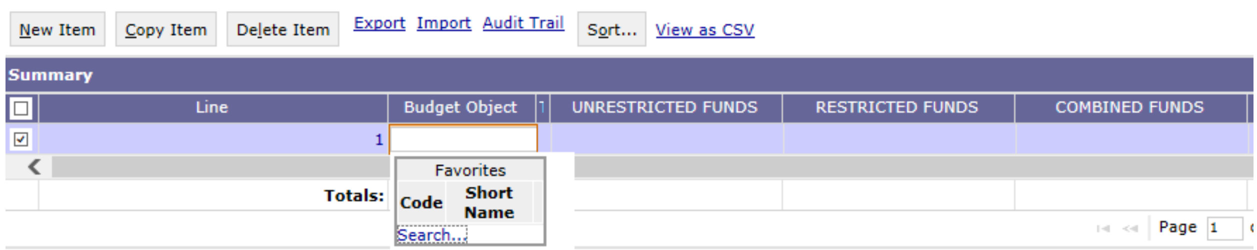
AUXILIARY ENTERPRISES TAB

Step 1. Select the **Auxiliary Enterprises** tab.

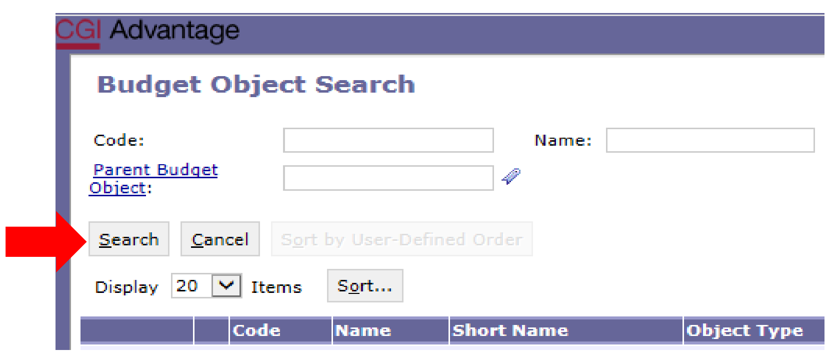


Step 2. Click **New Item** to insert a line to add unrestricted and restricted funds for the first budget object expense line.

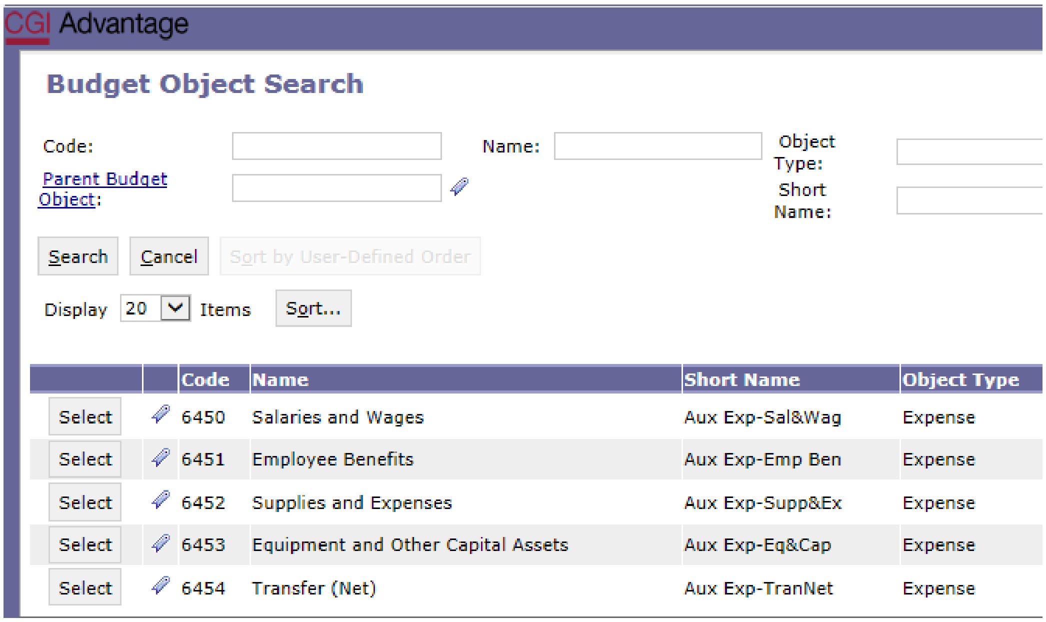
Step 3. To determine which line of funding to report for each line, right click in the **Budget Object** field. Then click **Search**.



Step 4. The **Budget Object Search** screen will appear. Click **Search**.

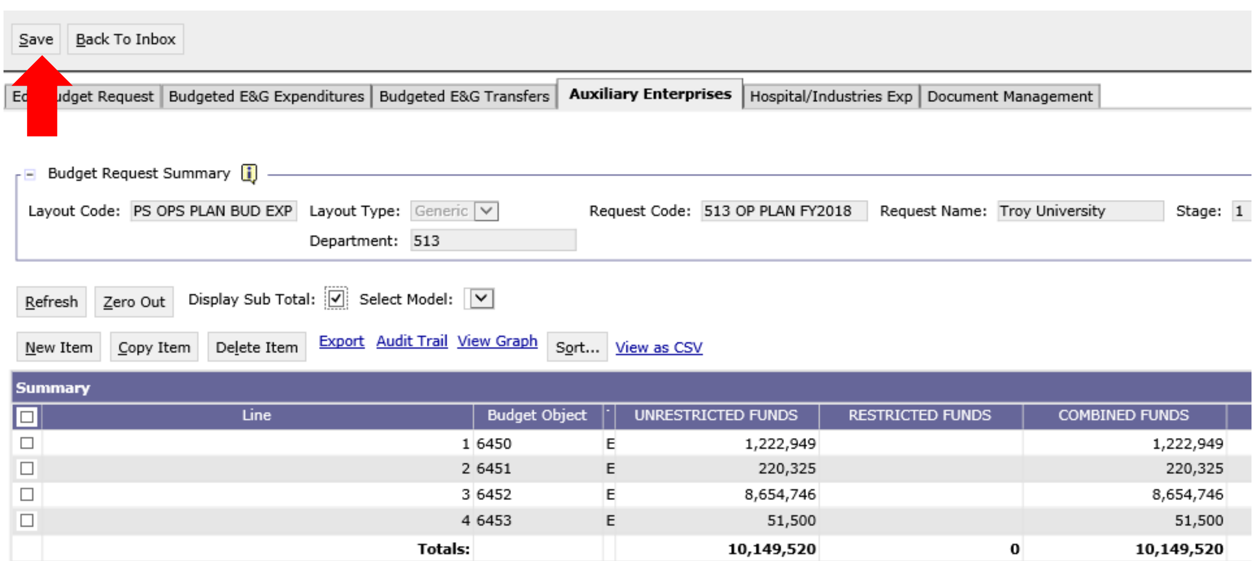


The **Budget Object Search** screen will open with the list of Auxiliary expenditures.



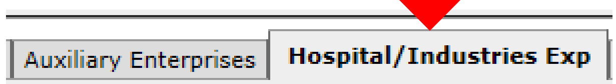
Step 5. Select the appropriate code for each line. Follow steps 2-4 to complete Form 21 Auxiliary expenditures for the institution.

Step 6. Click **Save** to review the Combined Funds (totals). **Action was Successful** message will also appear.



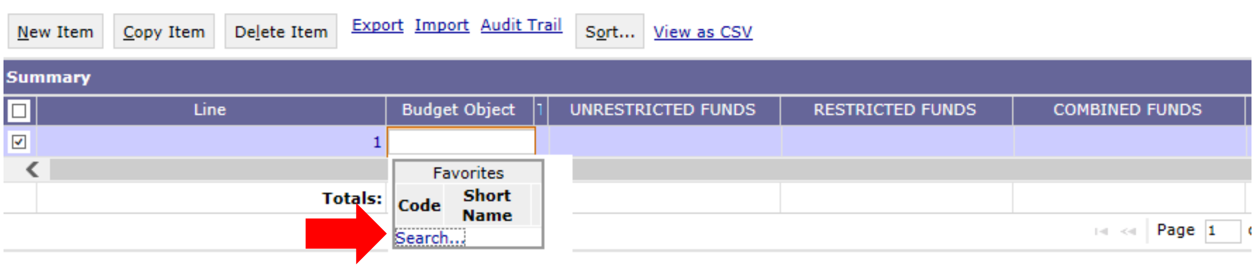
<u>**HOSPITAL/INDUSTRIES TAB (If Applicable)**</u>

Step 1. Select the **Hospital/Industries** tab.

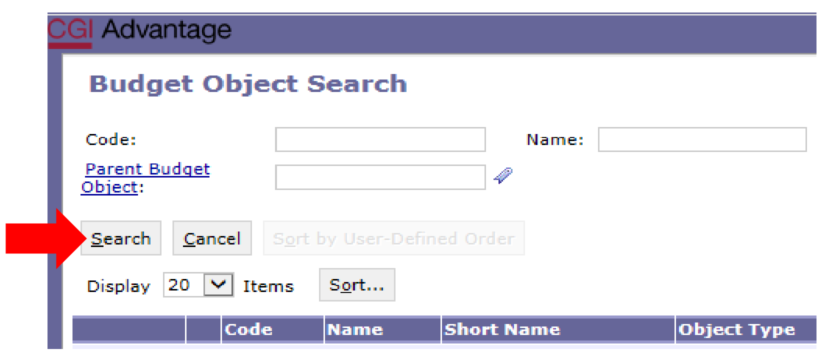


Step 2. Click **New Item** to insert a line to add unrestricted and restricted funds for the first budget object expense line.

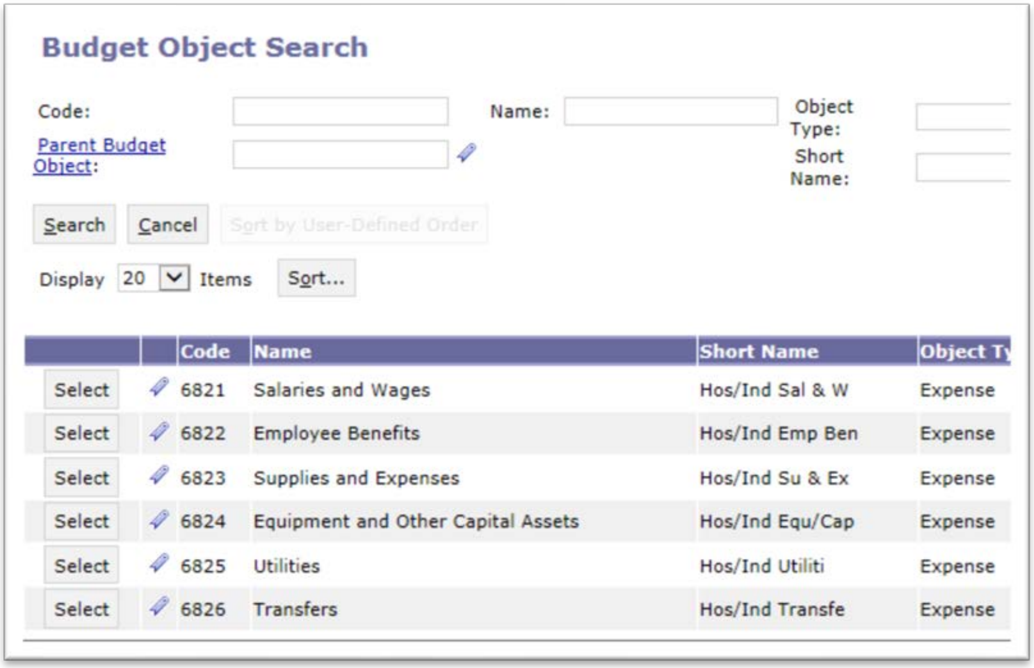
Step 3. To determine what line of funding to report for each line, right click in the **Budget Object** field. Then click **Search**.



Step 4. The **Budget Object Search** screen will appear. Click **Search**.



The **Budget Object Search** screen will open with the list of Hospital/Industries expenditures.



Budget Object Search

Code: Name: Object Type:
Parent Budget Object: Short Name:

Search Cancel Sort by User-Defined Order

Display 20 Items Sort...

		Code	Name	Short Name	Object Ty
Select		6821	Salaries and Wages	Hos/Ind Sal & W	Expense
Select		6822	Employee Benefits	Hos/Ind Emp Ben	Expense
Select		6823	Supplies and Expenses	Hos/Ind Su & Ex	Expense
Select		6824	Equipment and Other Capital Assets	Hos/Ind Equ/Cap	Expense
Select		6825	Utilities	Hos/Ind Utiliti	Expense
Select		6826	Transfers	Hos/Ind Transfe	Expense

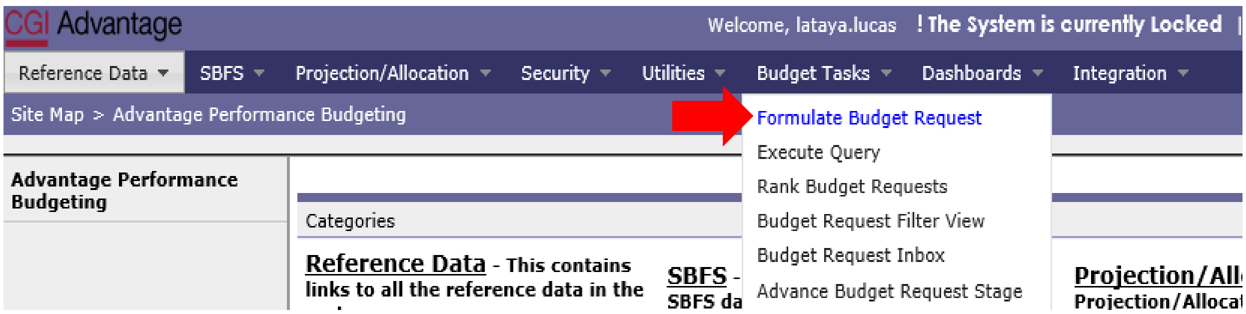
Step 5. Select the appropriate code for each line. Follow steps 2-4 to complete the Hospital/Industries expenditures, if applicable.

Step 6. Click **Save** to review the Combined Funds (totals). **Action was Successful** message will also appear.

You have successfully completed Form 21!

FORMS 20 – PS OPERATIONS PLAN

Return to **Budget Tasks** on the task bar. Then select **Formulate Budget Request** on the drop-down menu.



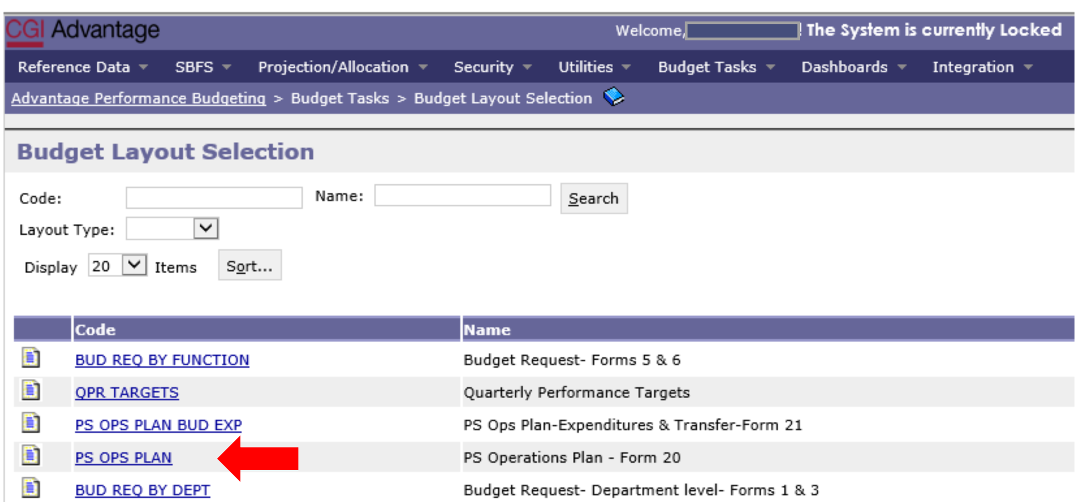
The **Budget Layout Selection** screen will appear.

Below is the code name used to identify the Form 20 used for Operation Plans:

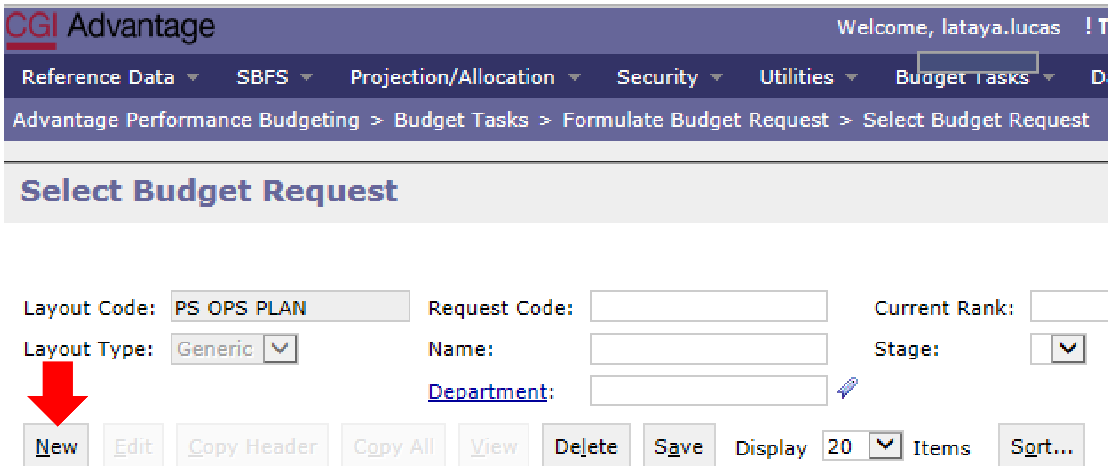
PS OPS PLAN - PS Ops Plan-Form 20

FORMS 20 – OPERATIONS PLAN

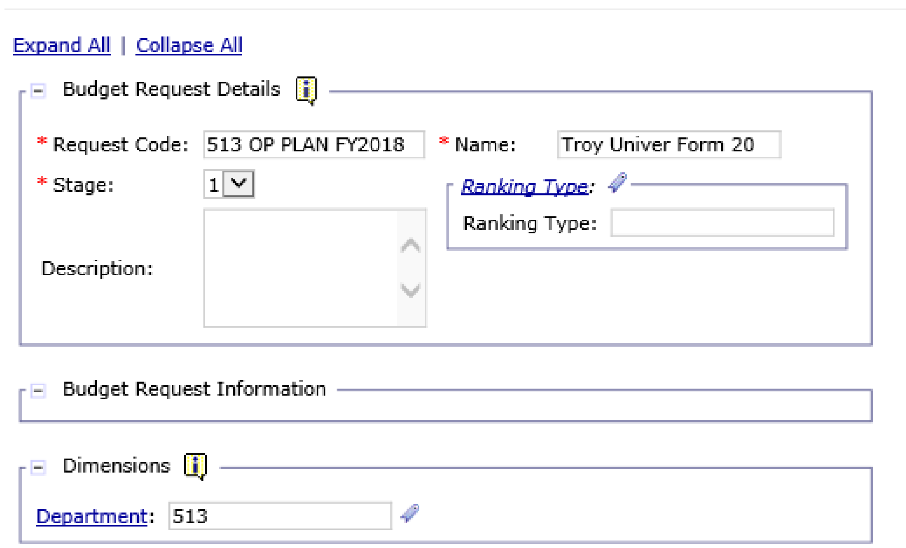
Step 1. Select **PS OPS Plan** under the Code section to begin creating Form 20.



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 institution information for the Form 20 as follows:

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

REQUEST CODE EXAMPLE: 513 OP PLAN FY20**

Agency Number: 3-Digit Institution Number

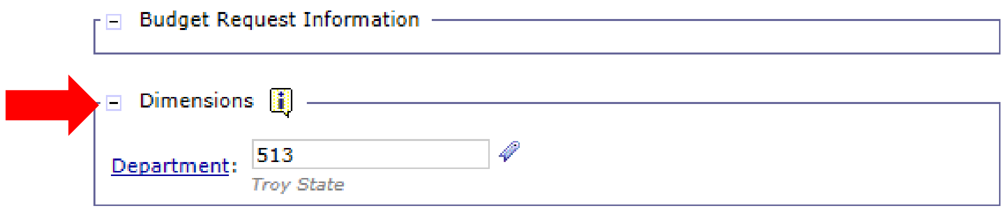
Key the words: **OP PLAN**

Key the words: **FY20****

NAME EXAMPLE: TROY UNIVERSITY – Form 20

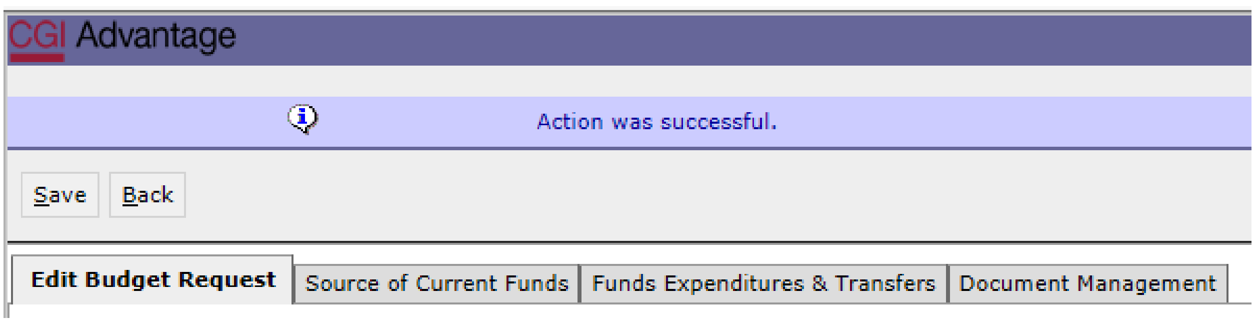
Name: University Name - Form 20

Step 4. Complete the **Dimensions** section at the bottom of the header page by adding the institution's 3-digit number.



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 data for the Form 20 expenditures. The tabs are **Source of Current Funds, Funds Expenditures & Transfers** and **Document Management**.

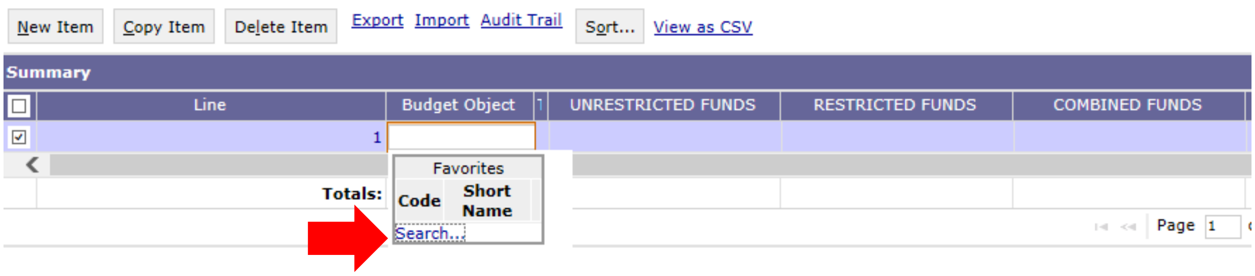


SOURCE OF CURRENT FUNDS

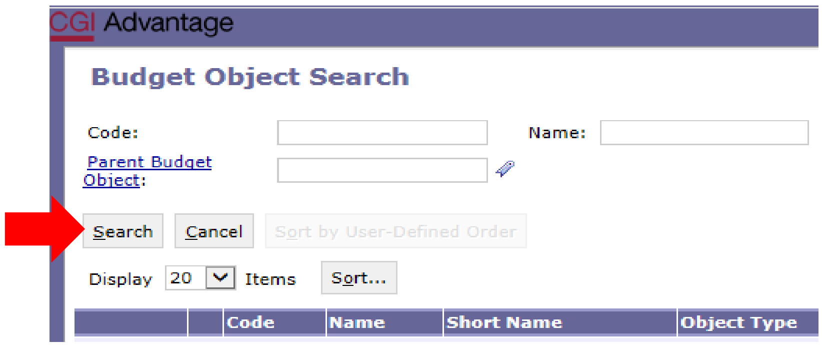
Step 1. Select the **Source of Current Funds** tab.

Step 2. Click **New Item** to insert a line to add unrestricted and restricted funds for the first Budget Object expense line.

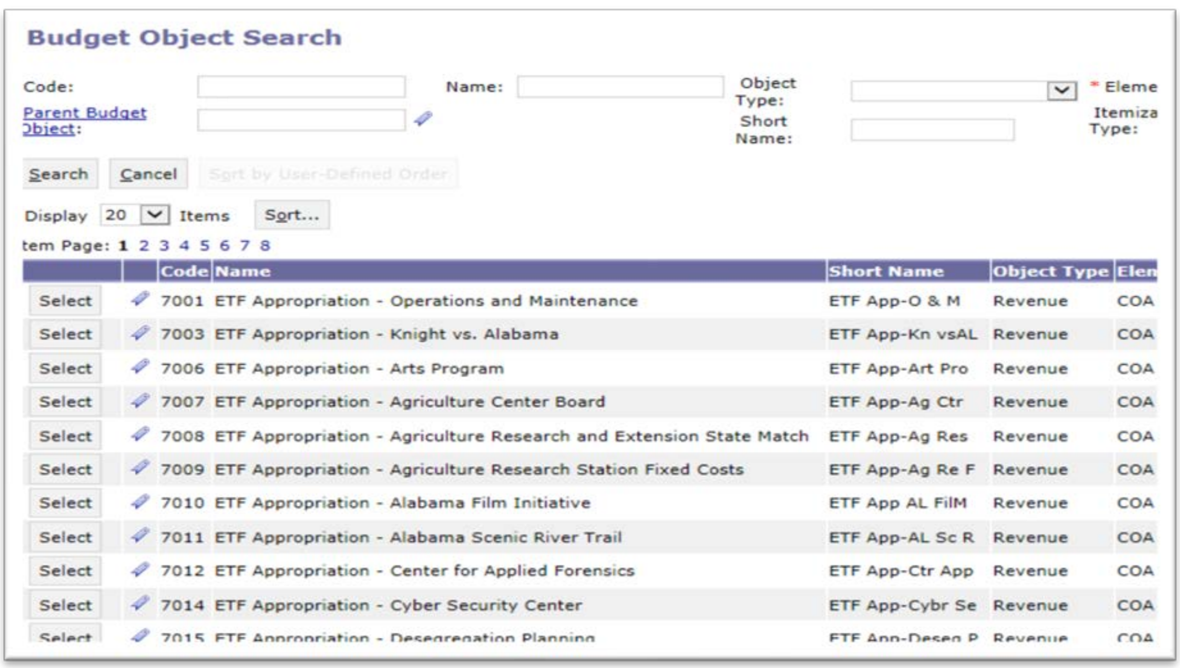
Step 3. To determine which line of funding to report on each line, right click in the **Budget Object** field. Then click **Search**.



Step 4. The **Budget Object Search** screen will appear. Click **Search** again.



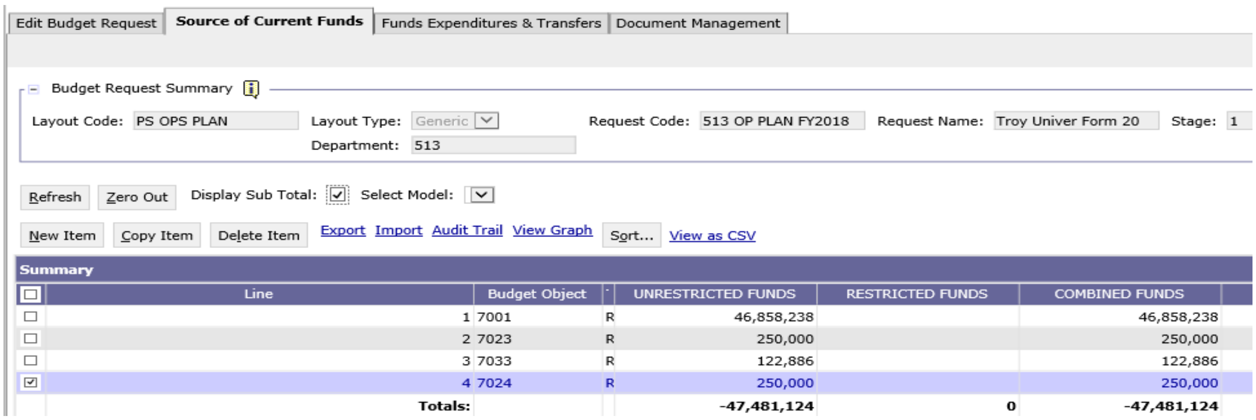
The **Budget Object Search** screen will open with the list of current fund sources.



	Code	Name	Short Name	Object Type	Elen
Select	7001	ETF Appropriation - Operations and Maintenance	ETF App-O & M	Revenue	COA
Select	7003	ETF Appropriation - Knight vs. Alabama	ETF App-Kn vsAL	Revenue	COA
Select	7006	ETF Appropriation - Arts Program	ETF App-Art Pro	Revenue	COA
Select	7007	ETF Appropriation - Agriculture Center Board	ETF App-Ag Ctr	Revenue	COA
Select	7008	ETF Appropriation - Agriculture Research and Extension State Match	ETF App-Ag Res	Revenue	COA
Select	7009	ETF Appropriation - Agriculture Research Station Fixed Costs	ETF App-Ag Re F	Revenue	COA
Select	7010	ETF Appropriation - Alabama Film Initiative	ETF App AL FilM	Revenue	COA
Select	7011	ETF Appropriation - Alabama Scenic River Trail	ETF App-AL Sc R	Revenue	COA
Select	7012	ETF Appropriation - Center for Applied Forensics	ETF App-Ctr App	Revenue	COA
Select	7014	ETF Appropriation - Cyber Security Center	ETF App-Cybr Se	Revenue	COA
Select	7015	ETF Appropriation - Desegregation Planning	ETF App-Deseg P	Revenue	COA

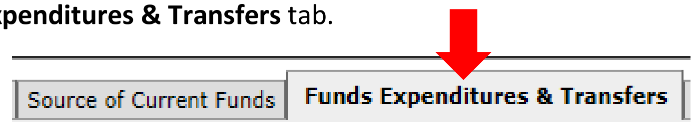
Step 5. Select the appropriate code for each line. Follow steps 2-4 to complete Form 20 revenues for the institution.

Step 6. Click **Save** to review the Combined Funds (totals). **Action was Successful** message will also appear along with the Combined Funds.



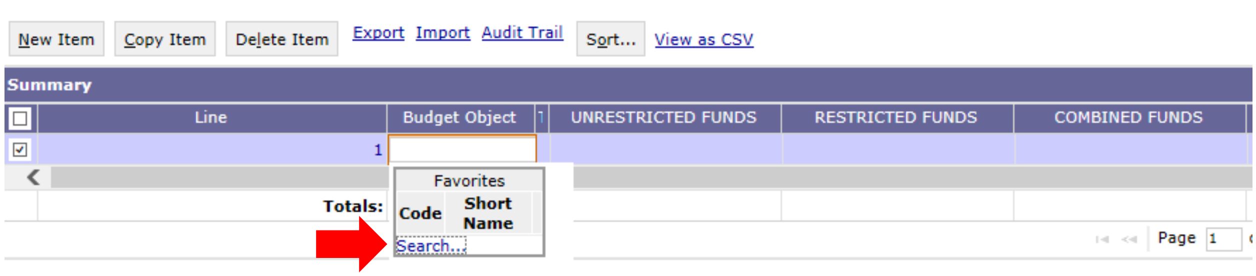
FUNDS EXPENDITURES & TRANSFERS

Step 1. Select the **Funds Expenditures & Transfers** tab.

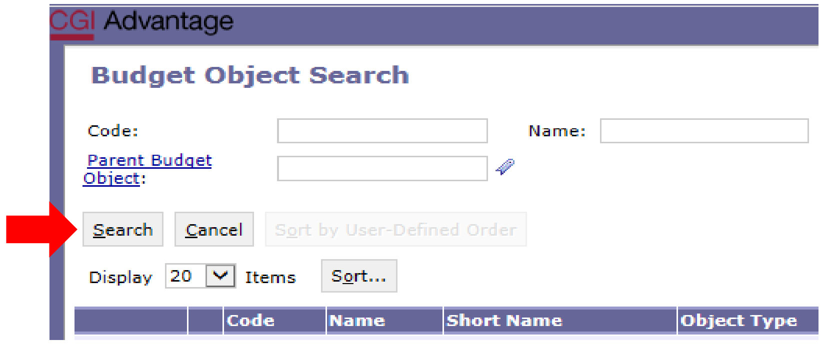


Step 2. Click **New Item** to insert a line to add unrestricted and restricted funds for the first Budget Object expense line.

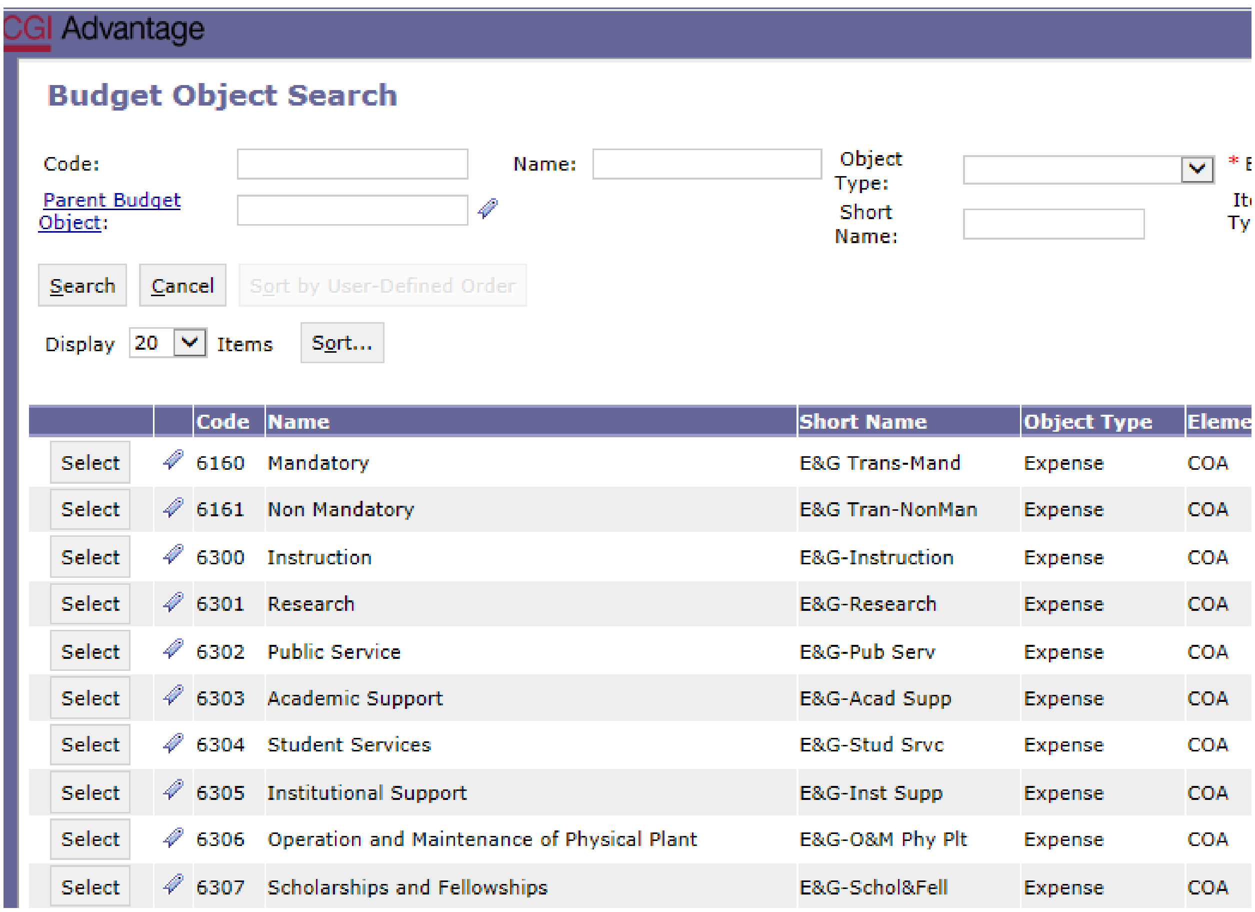
Step 3. To determine which line of funding to report on each line, right click in the **Budget Object** field. Then click **Search**.



Step 4. The **Budget Object Search** screen will appear. Click **Search** again.

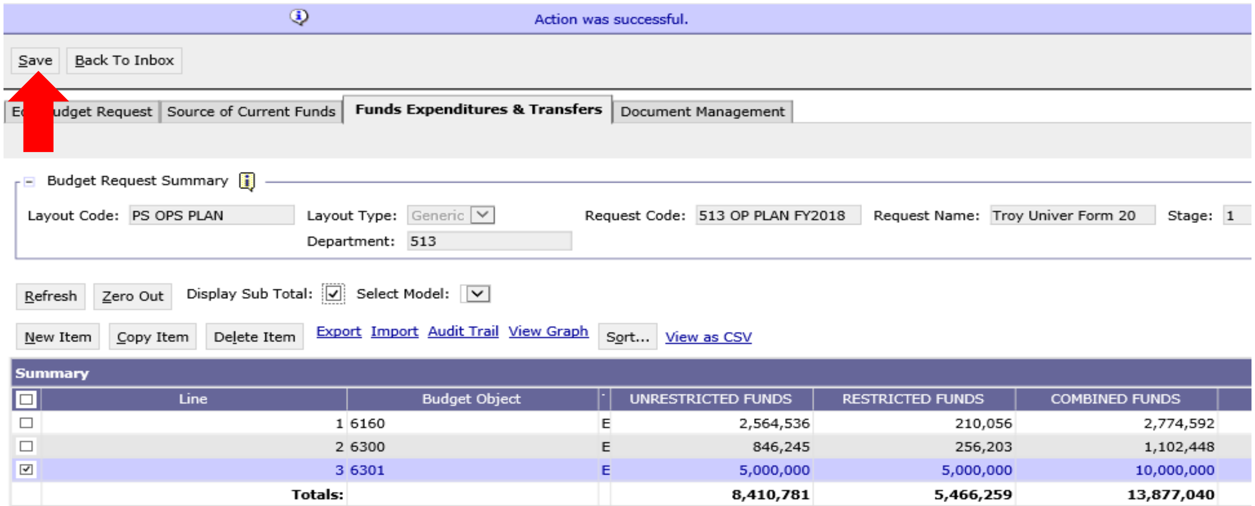


The **Budget Object Search** screen will open with the list of budgeted E&G expenditures.



Step 5. Select the appropriate code for each line. Follow steps 2-4 to complete Form 20 revenues for the institution.

Step 6. Click **Save** to review the Combined Funds (totals). **Action was Successful** message will also appear along with the Combined Funds



DOCUMENT MANAGEMENT TAB

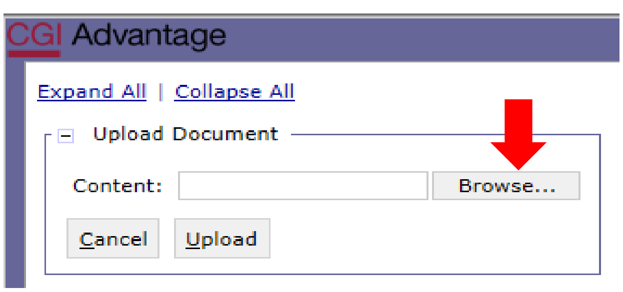
All reports are created in infoAdvantage and will need to be attached in the appropriate form (as a PDF) using the following steps.

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

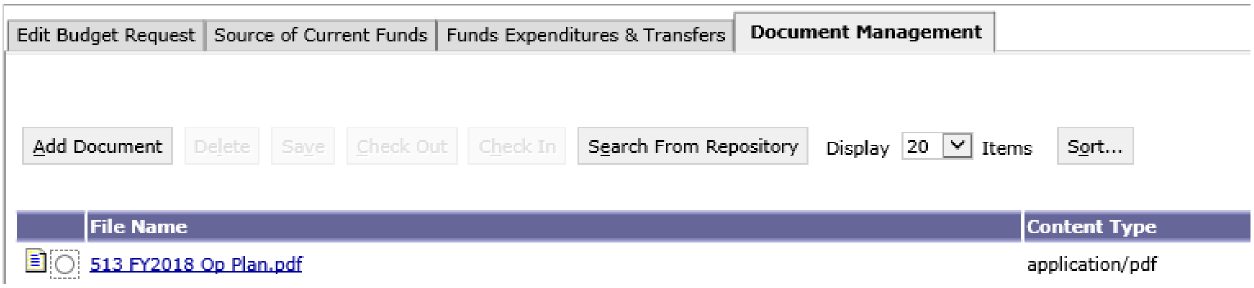
Step 2. Click **Add Document**.

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: Include ALL documentation required for the Operations Plan: QPR Targets, grant awards, etc.

Please use a similar format for naming these additional documents.

Examples:

- 513 Op Plan FY 20
- 513 QPR Targets FY 20

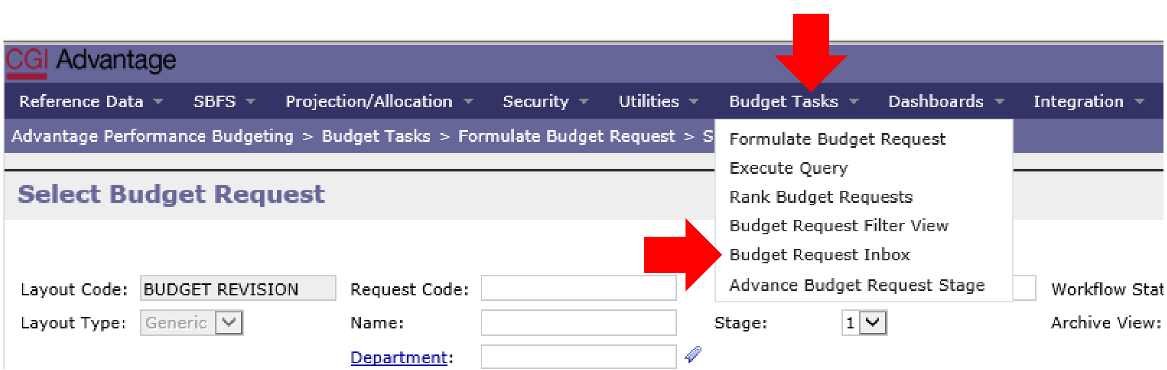
Step 5. When all required forms have been attached in the **Document Management** tab, click on the **Edit Budget Request** tab.

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 to Inbox,** then Continue, to exit out of the form.

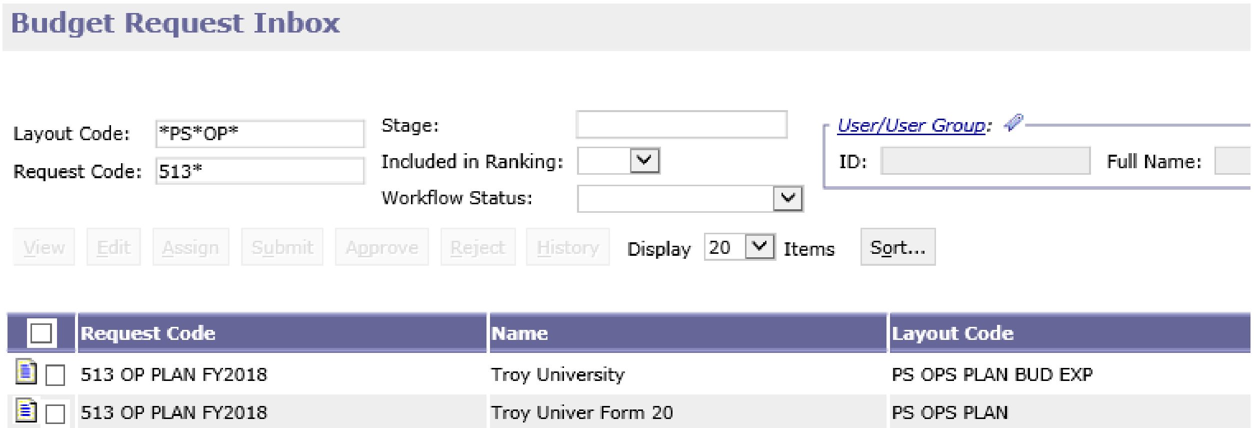
<u>SUBMISSION</u>

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

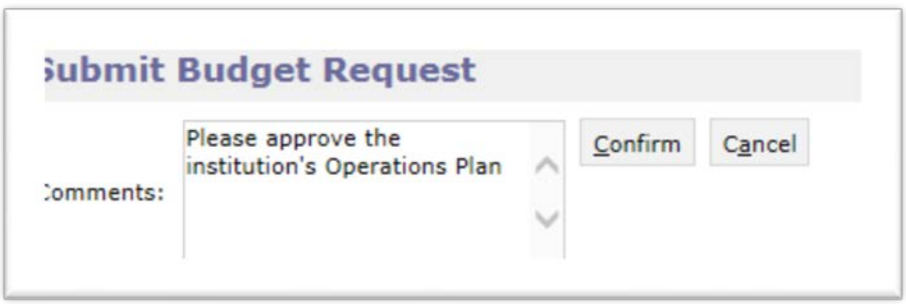


Step 1. Select **Budget Request Inbox**. The **Budget Request Inbox** will display.

Step 2. Select the Op Plan forms to be submitted.



Step 3. Click **Submit.** The following screen displays, allowing you to add comments for the 1st Approver.



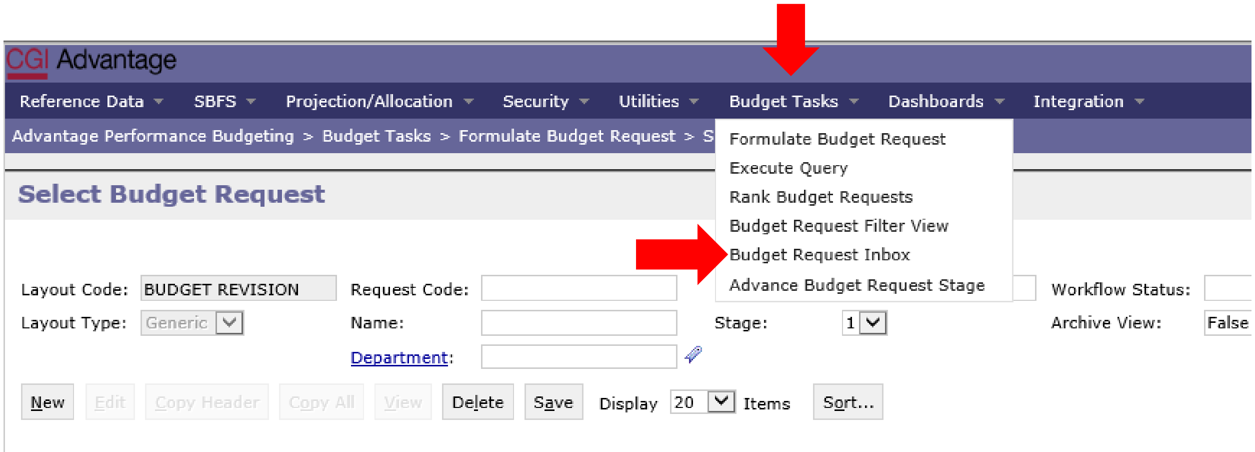
Step 4. Click **Confirm.** You will be taken back to the **Budget Request Inbox** and receive a message that the Operations Plan was **Successfully Submitted** to the 1st approver.

WORKFLOW

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 open the log-in page for PB. The 1st approver will need to open their **Budget Request Inbox** under **Budget Tasks**.



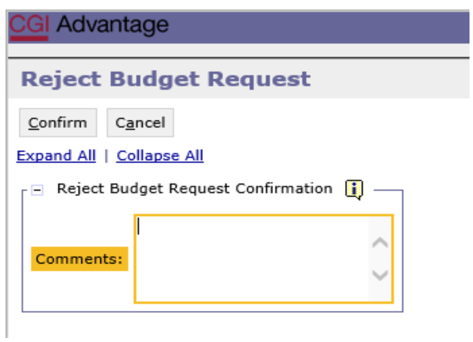
Step 2. The 1st approver will need to select the **Operations Plan Forms**.

☑	Request Code	Name	Layout Code	Stage
☑	513 OP PLAN FY2018	Troy University	PS OPS PLAN BUD EXP	1
☑	513 OP PLAN FY2018	Troy Univer Form 20	PS OPS PLAN	1

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

***Note: Only one form can be viewed at a time. ***

Step 4. After review, if the document(s) require 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 form 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 an Operations Plan. 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 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.

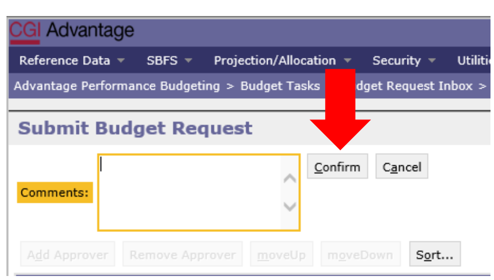
Step 9. Click **Confirm** to approve the form.

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

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

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 form was **Successfully Submitted**. The 2nd approver receives an email indicating that the packet has been submitted.

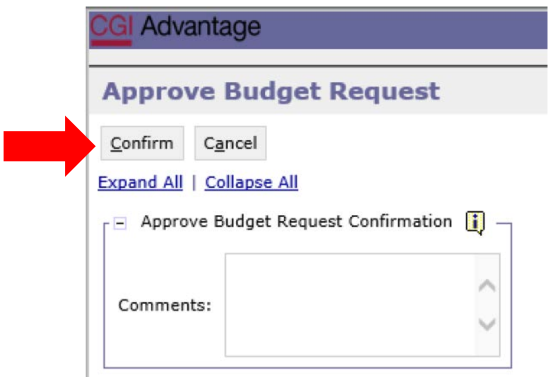
ADDITIONAL OPTION – REJECTED

The 2nd approver also has the option 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 will have a message that the form was **Successfully Submitted**.

The process to Submit is Complete!

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).