Executive Budget Office

Performance Budgeting (PB) Manual for Operation Plans

For use by Alabama State Postsecondary 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

Operations Plan Forms ........................................................................................................... 2

STAARS Performance Budgeting Access ................................................................................ 2

Formulate Budget Request ................................................................................................. 3

Forms 21 – Post-secondary Operations Plan ...................................................................... 4

Budgeted E&G Expenditures Tab ....................................................................................... 6

Budgeted E&G Transfers Tab ........................................................................................... 8

Auxiliary Enterprises Tab ................................................................................................. 10

Hospital/Industries Tab .................................................................................................... 12

Forms 20 – Postsecondary Operations Plan .................................................................... 14

Source of Current Funds .................................................................................................. 16

Funds, Expenditures, and Transfers ................................................................................ 18

Document Management Tab .......................................................................................... 20

Submission ....................................................................................................................... 21

Workflow .......................................................................................................................... 22

Rejected Forms ................................................................................................................ 25
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](https://budget.staars.alabama.gov)
- To access reports in infoAdvantage:  [https://staarsinfo.alabama.gov/BOE/BI](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.

![Budget Request Information](image)

**Dimensions**

- **Department:** 513

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**.
BUDGETED E&G EXPENDITURES TAB

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, 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 21 E&G expenditures for the institution.

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

**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.
AUXILIARY ENTERPRISES TAB

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

| Budgeted E&G Transfers | Auxiliary Enterprises |

**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.
HOSPITAL/INDUSTRIES TAB (If Applicable)

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](image)

**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!**
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.

![Dimensions Section](image)

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**.

![Supplementary Tabs](image)

**SOURCE OF CURRENT FUNDS**

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

![Source of Current Funds Tab](image)

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

![New Item](image)

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.

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.

![Document Management tab](image)

**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.

![Message](image)

Step 7. Click **Back to Inbox**, 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.

**Budget Request Inbox**

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

![Submit Budget Request](image)

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%2F Maintenance&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.

<table>
<thead>
<tr>
<th>Request Code</th>
<th>Name</th>
<th>Layout Code</th>
<th>Stage</th>
</tr>
</thead>
<tbody>
<tr>
<td>513 OP PLAN FY2018</td>
<td>Troy University</td>
<td>PS OPS PLAN BUD EXP</td>
<td>1</td>
</tr>
<tr>
<td>513 OP PLAN FY2018</td>
<td>Troy Univer 20</td>
<td>PS OPS PLAN</td>
<td>1</td>
</tr>
</tbody>
</table>

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).