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
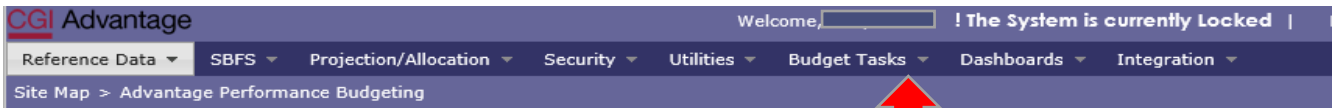- Form 21 – PS Ops Plan – Expenditures & Transfers

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 **financialsystems@comptroller.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.
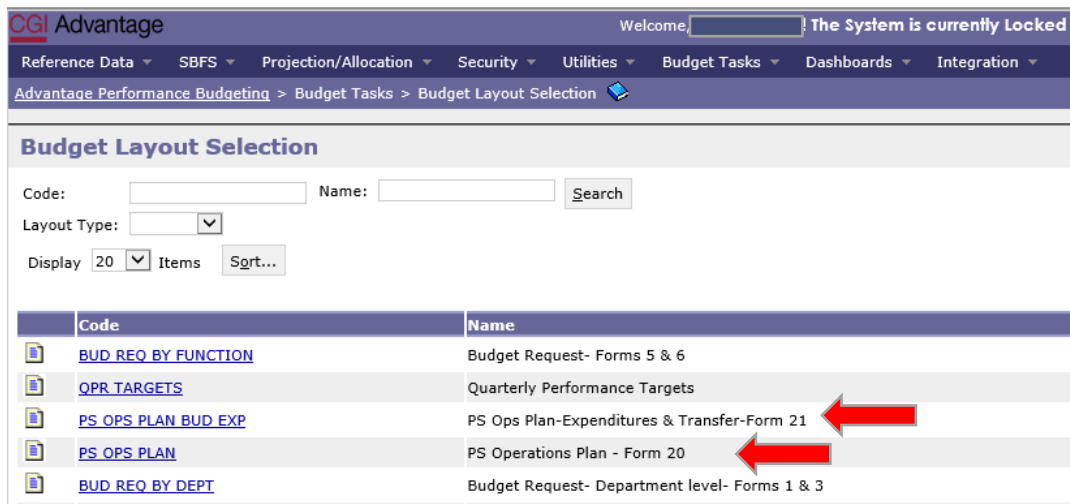

Then select **Formulate Budget Request** on the drop-down menu.
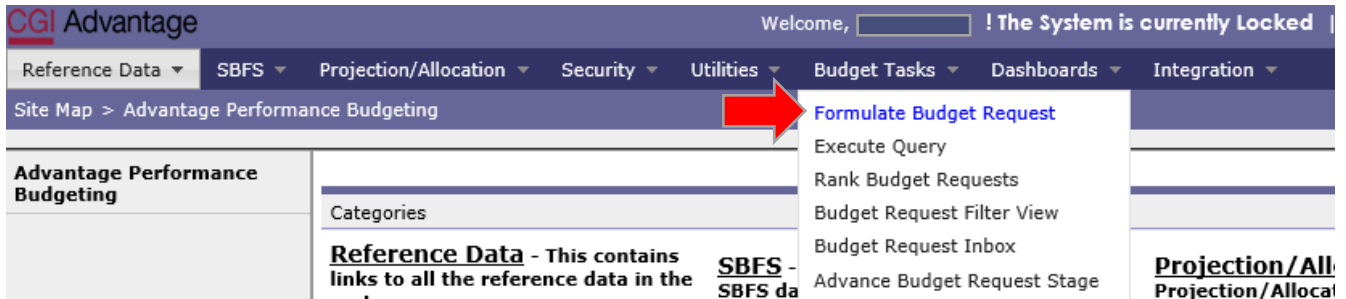
The **Budget Layout Selection** screen will appear. Below are the code names used to identify Forms 20 and 21 used for Operation Plans.

- **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.
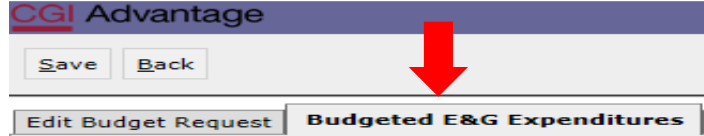

Step 5. Once complete click **Save.** The **Action was Successful** message will appear.

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**.
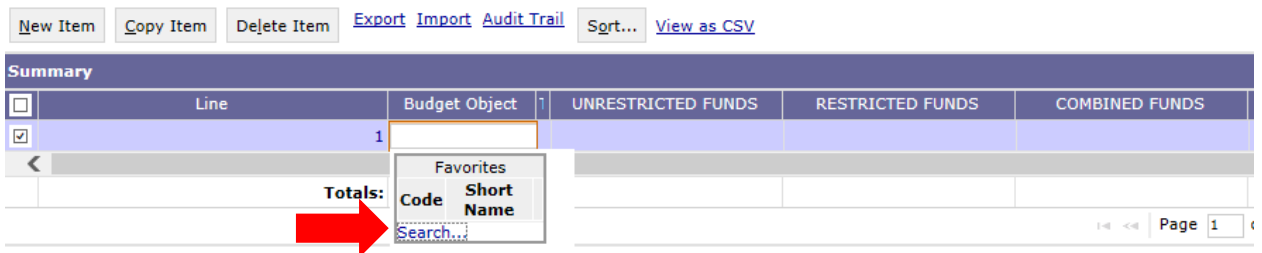
BUDGETED E&G EXPENDITURES TAB

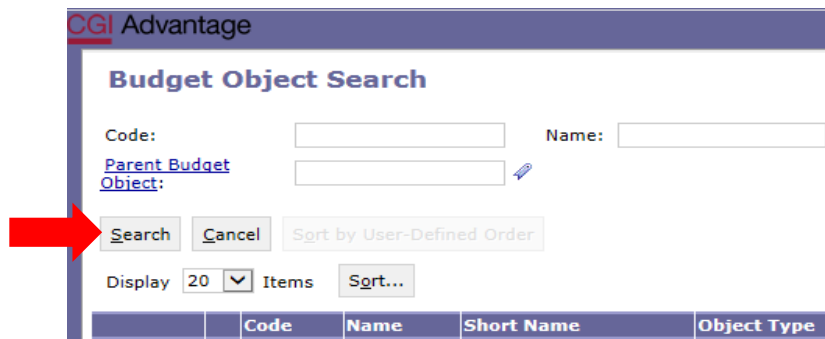 **Step 1.** Select the **Budgeted E&G Expenditures** tab.

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.

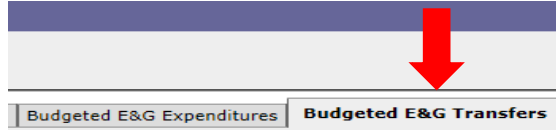The **Budget Object Search** screen will open with the list of budgeted E&G expenditures.

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.

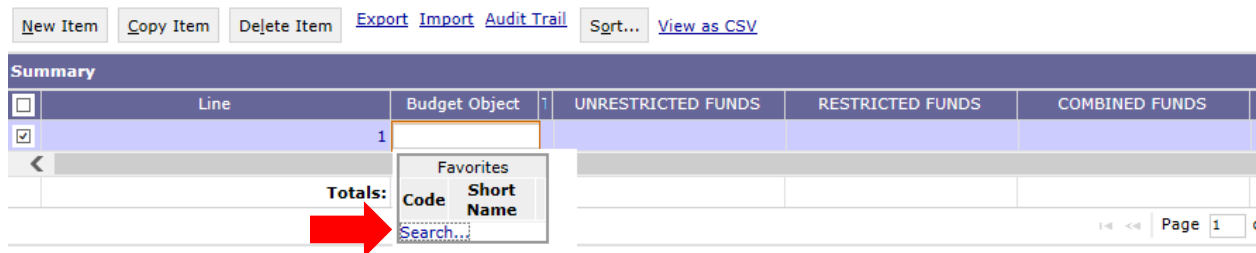|	Line	Budget Object		UNRESTRICTED FUNDS	RESTRICTED FUNDS	COMBINED FUNDS	
☐	1	6320	E	93,939,942	7,296,887	101,236,829	
☐	2	6321	E	28,912,656	1,688,326	30,600,982	
☐	3	6322	E	47,018,769	1,837,304	48,856,073	
☐	4	6323	E	963,009		963,009	
☐	5	6325	E	7,568,160		7,568,160	
☐	6	6326	E	25,005,728	967,355	25,973,083	
	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.

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

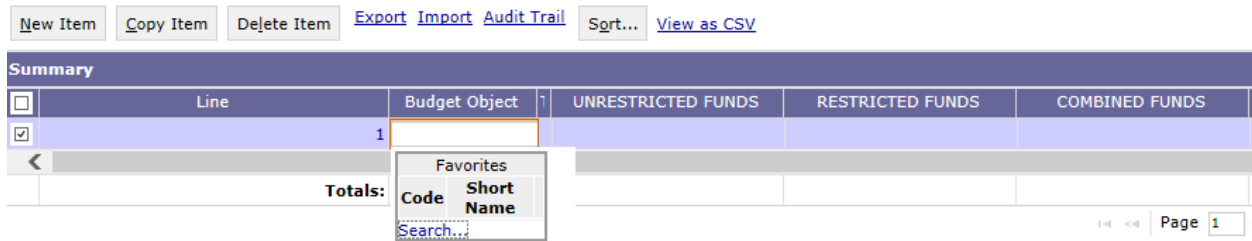**Step 1.** Select the **Auxiliary Enterprises** tab.
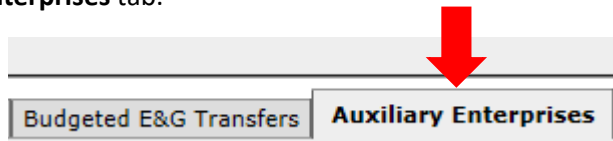
Step 2. Click **New Item** to insert a line to add unrestricted and restricted funds for the first budget object expense line.

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**.
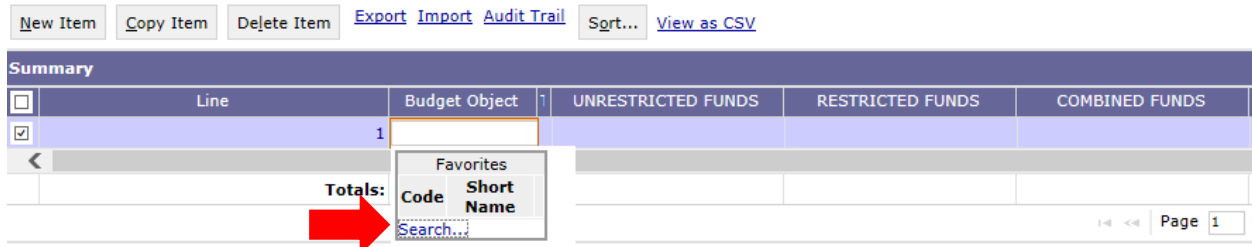
Step 4. The **Budget Object Search** screen will appear. Click **Search**.
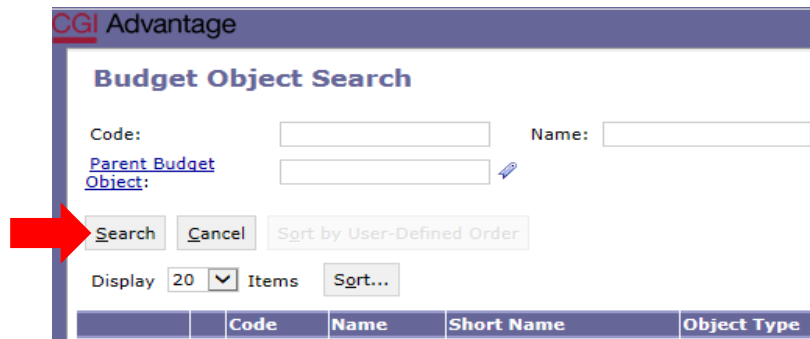
The **Budget Object Search** screen will open with the list of Hospital/Industries expenditures.

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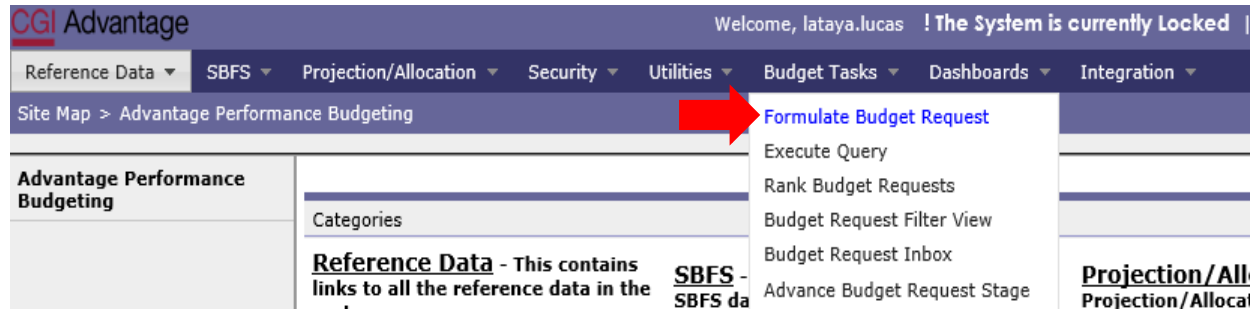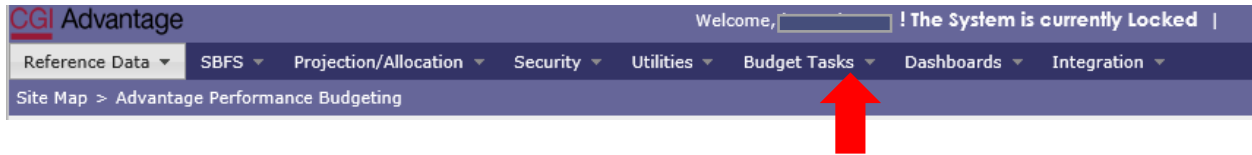
The **Budget Layout Selection** screen will appear.

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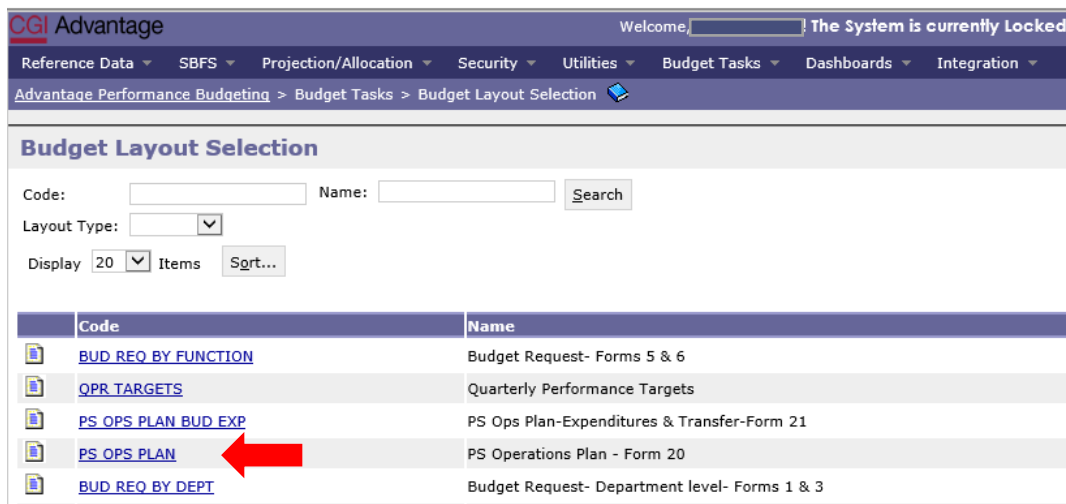
Step 2. On the **Select Budget Request** screen, click **New**.

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.

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. **T**he **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	Object Type	Eleme
Select		6160	Mandatory	E&G Trans-Mand	Expense	COA
Select		6161	Non Mandatory	E&G Tran-NonMan	Expense	COA
Select		6300	Instruction	E&G-Instruction	Expense	COA
Select		6301	Research	E&G-Research	Expense	COA
Select		6302	Public Service	E&G-Pub Serv	Expense	COA
Select		6303	Academic Support	E&G-Acad Supp	Expense	COA
Select		6304	Student Services	E&G-Stud Srvc	Expense	COA
Select		6305	Institutional Support	E&G-Inst Supp	Expense	COA
Select		6306	Operation and Maintenance of Physical Plant	E&G-O&M Phy Plt	Expense	COA
Select		6307	Scholarships and Fellowships	E&G-Schol&Fell	Expense	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

Summary					
☐	Line	Budget Object	UNRESTRICTED FUNDS	RESTRICTED FUNDS	COMBINED FUNDS
☐	1 6160	E	2,564,536	210,056	2,774,592
☐	2 6300	E	846,245	256,203	1,102,448
☑	3 6301	E	5,000,000	5,000,000	10,000,000
	Totals:		8,410,781	5,466,259	13,877,040

Budget Request Summary
Layout Code: PS OPS PLAN   Layout Type: Generic   Request Code: 513 OP PLAN FY2018   Request Name: Troy Univer Form 20   Stage: 1
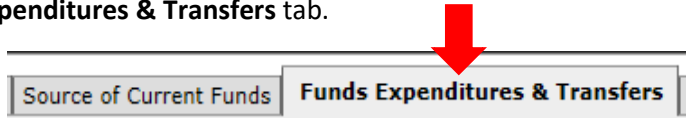Department: 513

Action was successful.

Save   Back To Inbox

Budget Request   Source of Current Funds   **Funds Expenditures & Transfers**   Document Management

Refresh   Zero Out   Display Sub Total: ☑   Select Model: ▼

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

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.

CGI Advantage

Expand All | Collapse All

Upload Document

Content: [   ]   Browse...

Cancel   Upload

Step 4. Click **Upload**. As your documents are attached to the form, they will display below.
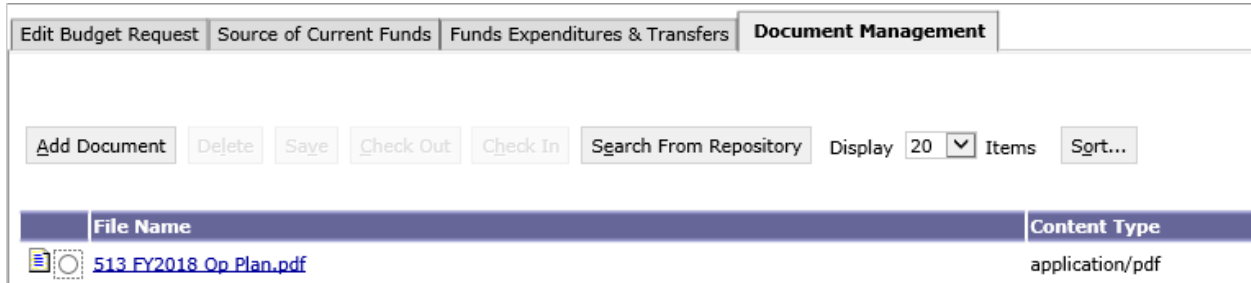
NOTE: Include ALL documentation required for the Operations Plan: QPR Targets, grant awards, etc.

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.

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

Layout Code:	*PS*OP*	Stage:		User/User Group:
Request Code:	513*	Included in Ranking:	[v]	ID:
		Workflow Status:	[v]	Full Name:

View Edit Assign Submit Approve Reject History   Display 20 [v] Items   Sort...

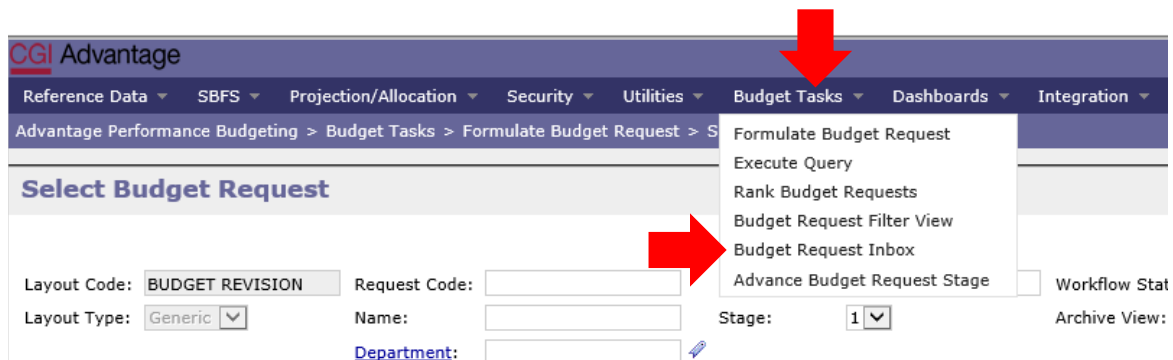| ☐	Request Code	Name	Layout Code
☐	513 OP PLAN FY2018	Troy University	PS OPS PLAN BUD EXP
☐	513 OP PLAN FY2018	Troy Univer Form 20	PS OPS PLAN

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

Submit Budget Request

Comments: Please approve the institution's Operations Plan   Confirm   Cancel

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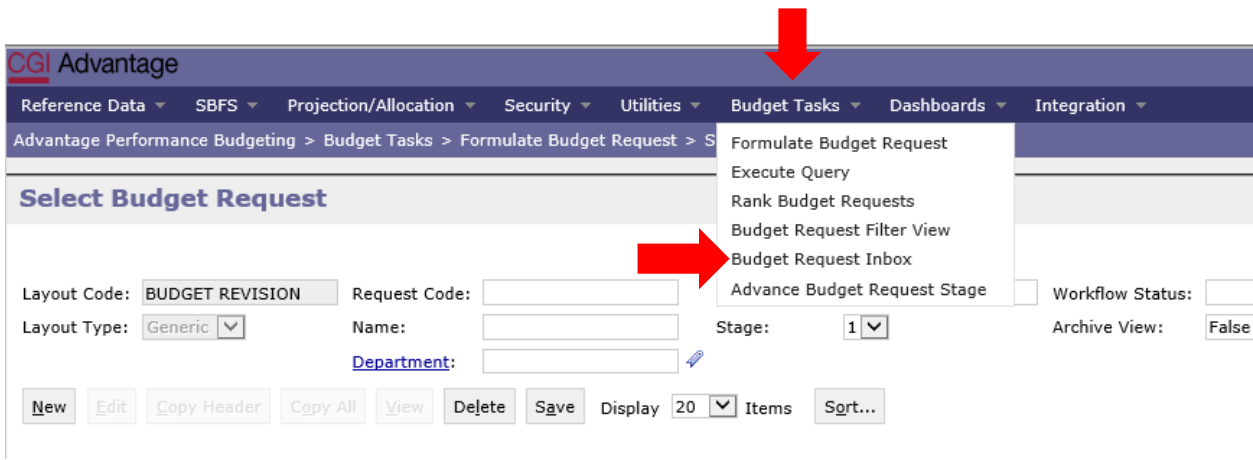
Step 2. The 1ˢᵗ approver will need to select the **Operations Plan Forms**.

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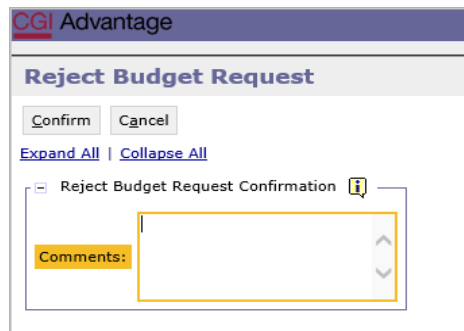
Step 5. Use the **Comments** section to describe why the documents were rejected.

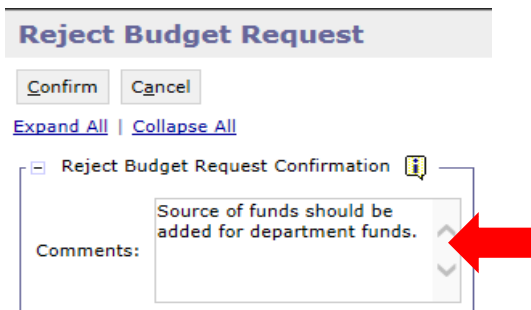**Step 6.** Click **Confirm**. This will send the form back to the person that submitted it to the 1st approver. The submitter will receive an email that includes the comment and a link to STAARS Budgeting to open the document and make the necessary corrections.

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.
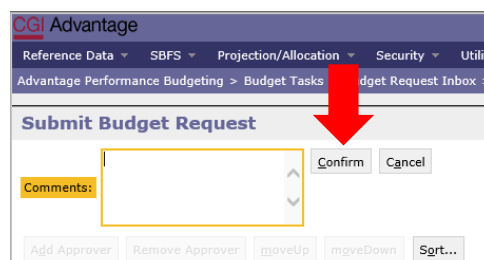
Step 13. You will return to the **Budget Request Inbox** and a message displays that the form was **Successfully Submitted**. The 2nd approver receives an email indicating that the packet has been submitted.
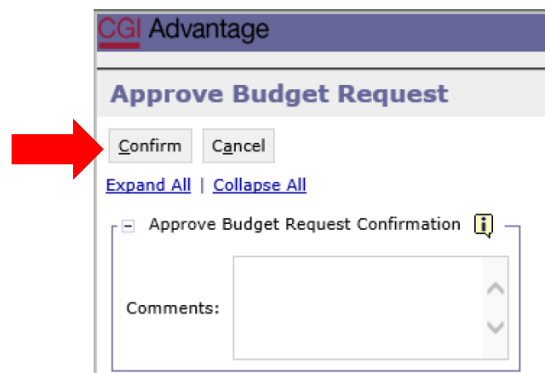
<u>**ADDITIONAL OPTION – REJECTED**</u>

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).