The University of Oklahoma
Health Sciences Center

**FY2021 Budget Formulation System**
PeopleSoft HR-HC920

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**The Budget Process**

University policy requires review and approval by the Board of Regents of all University budgeted funds. The budget process is divided into three distinct phases:

- Preliminary
- Proposed
- Finalization

**Preliminary** – The purpose of the Preliminary phase is to establish the reference point within the current budget year against which the proposed budget for the next year will be measured. This phase is executed prior to receiving State Appropriated budget amounts from the Oklahoma State Regents for Higher Education. In this phase, actual position, employee, and salary/wage data are loaded into the Budget Formulation System. Department worksheets are run and distributed; departments are requested to verify the accuracy of the information and notify Human Resources of discrepancies.

**Proposed** – The purpose of the second phase is to finalize the entire OUHSC budget for the next year. The Proposed phase is executed mid-April through early June. State Appropriated budget amounts are approved by the Oklahoma State Regents for Higher Education on the last legislative Friday in May and forwarded to the Institutions. The OU CFO then generates State Appropriated fund target letters to each college and administrative area.

**Finalization** – Once the Proposed phase is complete, the Budget Office reviews the data entry to ensure the total state budget is in agreement with the targets distributed from the OU CFO, as well as reviewing all other budgets for reasonableness. In addition to other reports, the Budget Book is printed and distributed to both the Oklahoma State Regents for Higher Education and the University Regents. Personnel information from the Budget Formulation System is rolled into the HR system and July pay data is created. All changes are effective upon the approval of the Regents. Finally, all information from the Budget Formulation System is summed at defined levels and rolled into the General Ledger system. All budgets for the next fiscal year, except for SPNSR fund operating expense budgets, are then established. Budgets for operating expenses for the SPNSR fund are established by Grants and Contracts Accounting at the time the award is established.
FY21 Budget Calendar

Roll HR data into Budget System for Departmental Worksheets .................................................. March 30

IT - Eliminate any Vacant Positions before Running Departmental Worksheets .......................... March 31

Budget Office runs and distributes Departmental Worksheets for Departments to cleanup data ...... April 3

Budget Training - OKC ........................................................................................................... April 6 & 7

Budget Training - Tulsa ................................................................................................................ April 10

Roll updated HR data into Budget System .................................................................................... April 13

IT - Start Refreshing “Current” side at night ................................................................................. April 17

Departments begin working on budgets and have access to run worksheets ............................... April 17

Distribute Target Letters ............................................................................................................... April 24

**Departments work on FY21 Budget .................................................................................. April 17 thru May 8**

IT - Stop Refreshing “Current” side ............................................................................................ Until told to stop

HR Reviewing Compensation Changes ......................................................................................... April 20 – June 1

ECAVS Completed by ORA ............................................................................................................ May 8

FY21 Budget due to OSRHE ......................................................................................................... June 12

OU Regents’ Meeting ..................................................................................................................... June 23-25

Roll Budget to HR ......................................................................................................................... June 19

Roll Budget to GL .......................................................................................................................... June 19

Budget Book Available for Distribution ........................................................................................... July 1

**Note:** Effective date of FY21 1st payroll will be 6/21/20, except any manual changes.
Overall OUHSC Budget Process

- Oklahoma Legislature Determines Overall State Funding for Higher Education
- Oklahoma State Regents Determine State Funding for each of the Oklahoma Public Colleges and Universities
- OUHSC Senior Administration works with the Budget Office to Determine Funding for Colleges and Main Administrative Areas
- OUHSC Colleges and Main Administration Areas
- OUHSC Departments Develop Detailed Budgets
Overall OUHSC Budget Process

- Legislative and Governor
  - State Regents Board Reviews Budget Information
    - State Regents Reports
  - State of Oklahoma Load Budgets
    - OUHSC Financial System Load Budgets
      - OUHSC HR System Load Budgets
        - Overall OU Budget Reports & Agenda Items
          - OU Board of Regents

- OUHSC Budget Office and Senior Administration Review Budgets

- OUHSC Colleges and Main Administrative Areas Review Budgets

- OUHSC Departments Develop Detailed Budgets
<table>
<thead>
<tr>
<th>Item</th>
<th>January</th>
<th>February</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
</tr>
</thead>
<tbody>
<tr>
<td>College/Departments Reviews/Pro formas</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Budget Training for College/Departments</td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>College/Departments Work on Budgets in Budget System</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>State Target Letters to Colleges/Departments</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>HR Review of Compensation Changes</td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Finalize Budgets</td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Submit Budget to OU Regents</td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Submit Budget to OSRHE</td>
<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>
PAPERWORK POLICIES

Faculty and Staff ePAF Policies during Budget Entry

Provost List of Faculty Promotions and Distinguished Professorships
If a faculty member received a promotion and/or was awarded a distinguished professorship (approved by the OU Board of Regents) and is on the list of promotions provided by the HSC Provost’s Office, the title change will be entered by the Budget Office in the Budget System.

If there is a salary adjustment included with the promotion and/or professorship, the funds will be given to the College/Department in their target letter. The College/Department will be responsible for entering the additional compensation into the Budget System.

In addition to budget entry, an ePAF is required for faculty title changes associated with a promotion and/or distinguished professorship. For additional information, please contact Peggy Brown, HSC Provost’s Office, extension 48409.

Changes to Pay Source and Salary Amount – An ePAF is NOT Required
During the budget entry process, changes to pay source and salary amount are allowed and do not require an ePAF. These types of changes can be made on the budget pages (proposed side), with the appropriate reason code and the change will become effective.

Example: If the College/Department wants to give an existing employee a raise; they can simply enter the raise into the compensation panel (proposed side) in the Budget System.

All Other Personnel Changes – An ePAF is Required
The following actions require an ePAF submission in addition to budget entry. Please submit prior to the budget entry deadline.

- **All** Terminations, including students and graduate assistants. Simply not budgeting the person into a position does not automatically terminate the employee.
- **All** Appointments.
- **All** Transfers to another department.
- **All** Promotions.
- **All** Demotions.
- **All** Reclassifications.
- **All** Changes to overall FTE.

If an employee is changing FLSA status from non-exempt to exempt, the first day of the new pay period, 6/21, must be used as the effective date on the ePAF. If the effective date is set to 7/1, the time worked while in the non-exempt status will be lost in the EcoTime system, and the employee will be paid as exempt for the entire pay period.

Example: An employee plans to terminate their employment at the end of the fiscal year. The College/Department is responsible for completing the ePAF. The College/Department is also responsible for updating the information for the position in the budget system.
**Budget System Data Upload**

An ePAF is required as supporting documentation for those personnel actions that are not just a pay source or salary change. Any ePAF in HR’s worklist will be entered into the HR system prior to the scheduled upload of the information from the budget system. Thus, all ePAFs will override what has been entered into the budget system.

Items in the budget system will be uploaded into the HR system with an effective date of 6/21. If an effective date of 6/21 or greater already exists on the job record in the HR system, the information in the budget system will not be uploaded.

Example: An employee’s promotion will go into effect 9/1. The information is entered into the budget system with a pay increase, a title change, and an effective date of 9/1. This item will not roll into the HR system because of the 9/1 effective date. As time draws closer to 9/1, an ePAF will have to be submitted to reflect the desired changes.

**Corrections to Budget**

If corrections need to be made to an employee’s record, wait to submit your ePAFs on or after 6/21.

- A “correction to budget” refers to only those actions not reflected in the Budget Book. When submitting an ePAF, note “Correction to Budget” and the reason for the correction in the comments section of the ePAF.

- If the information is correct in the budget book and the budget information did not roll, and it should have, please do not use “correction to budget” in the comments. Instead, when submitting an ePAF, please note “Did not roll” in the comments section of the ePAF.

**Keep in mind that any item equal to or over $100,000 not reflected in the budget book, or not approved by the Board of Regents during the June meeting, will have to be held until approved by the Board of Regents at their next meeting.**

In the event your changes do not appear after the information from the budget system is uploaded into the HR system, and you know you have initiated an ePAF, please look up the ePAF to find out the status of the form. If you have any questions, please call Stephanie Conley at extension 44718.

**OU Position Data – Things to Remember**

- In order to change an employee’s department, you must assign a position number already assigned to the desired department through ePAF. You cannot change an employee’s department by simply changing the Dept ID on the OU Position Data Table.

- Do not add rows to OU Position Data to remove individuals who will be vacating positions.

- OU Position Data doesn’t allow overlapping employee’s in one position number.
All changes entered into the Budget System will be effective 6/21.

Residents to 7/1 must be changed in the ePaf system.

Grants will continue to have a “C” number until 6/30

PPP paid on July 10th will be charged to FY20 Budget

Pay Period 6/7 to 6/20 and paid on July 3rd will be charged to FY20 Budget and Fringe

Pay Period 6/21 to 7/4 will be paid on 7/17 and charged FY21 Fringe Rates

*An ePaf MUST be completed for the FY21 project number effective dated 7/1. (should be done after budget roll and prior to 7/1)

*NO GRANTS WILL ROLL FROM BUDGET. THESE WILL ONLY BE ENTERED FROM EPAF.
**Current Budget Panels**

The Current Budget Panels are panels that show the current budget. These panels are display only and are to be used for information purposes only. Below are some screen shots indicating how to access the Current Budget Panels.

- OUHSC Menu Items
  - OUHSC Budget
    - Current Budget

Enter your org into the Department field.
- Select the positions you want to review.

**Current Budget**

Enter any information you have and click Search. Leave fields blank for a list of all values.
The “Current Position” tab shows the most up to date position status and is uploaded nightly.

The “Current Budget” tab shows the ChartField spread for the position and is also uploaded nightly.
Updating an Existing Position FY21 budget formulation, there are three pages: OUHSC Position Data, Employee Setup, and Proposed Budget.

- Sign on to PeopleSoft HR-HC920
  - OUHSC Menu Items
  - OUHSC Budget
  - Proposed Budget

Proposed Budget
Enter any information you have and click Search. Leave fields blank for a list of all values.

- Find an Existing Value
- Add a New Value

- Search
- Clear
- Basic Search
- Save Search Criteria

Drop down box explained on page #14

- Enter the HR Org/Department
  - Click Search

- Limit the number of results to (up to 300): 
  - Empl ID: begins with
  - Department: begins with
  - Position Number: begins with

- Search
- Clear
- Basic Search
- Save Search Criteria
Click the Position Number

**Proposed Budget**
Enter any information you have and click Search. Leave fields blank for a list of all values.

![Search Criteria](image)

**Search Results**

<table>
<thead>
<tr>
<th>Empl ID</th>
<th>Department</th>
<th>Name</th>
<th>Position Number</th>
<th>Status</th>
<th>Budget Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>504471</td>
<td>ADM001</td>
<td>Manzelli, Paul</td>
<td>0003202</td>
<td>Proposed</td>
<td>New</td>
</tr>
<tr>
<td>501627</td>
<td>ADM001</td>
<td>Harnooy, Daphne</td>
<td>0002501</td>
<td>Proposed</td>
<td>New</td>
</tr>
<tr>
<td>503269</td>
<td>ADM001</td>
<td>Rowe, Kenneth</td>
<td>0002801</td>
<td>Proposed</td>
<td>New</td>
</tr>
<tr>
<td>511323</td>
<td>ADM001</td>
<td>Markgraf, Heather</td>
<td>0002008</td>
<td>Proposed</td>
<td>New</td>
</tr>
<tr>
<td>512239</td>
<td>ADM001</td>
<td>Vianer, Donald</td>
<td>0002003</td>
<td>Proposed</td>
<td>New</td>
</tr>
<tr>
<td>518600</td>
<td>ADM001</td>
<td>Morgan, Bart T</td>
<td>0002006</td>
<td>Proposed</td>
<td>New</td>
</tr>
<tr>
<td>522740</td>
<td>ADM001</td>
<td>Hall, Sonja Kay</td>
<td>0002018</td>
<td>Proposed</td>
<td>New</td>
</tr>
<tr>
<td>887530</td>
<td>ADM001</td>
<td>Johnson, Cave</td>
<td>0002023</td>
<td>Proposed</td>
<td>New</td>
</tr>
<tr>
<td>OP20201</td>
<td>ADM001</td>
<td>Operating Expenses</td>
<td>99000000</td>
<td>Proposed</td>
<td>New</td>
</tr>
<tr>
<td>OPREV</td>
<td>ADM001</td>
<td>Operating Revenue</td>
<td>00000000</td>
<td>Proposed</td>
<td>New</td>
</tr>
<tr>
<td>SPCFNG</td>
<td>ADM001</td>
<td>SPC Fringe</td>
<td>80000000</td>
<td>Proposed</td>
<td>New</td>
</tr>
<tr>
<td>SPCPAY</td>
<td>ADM001</td>
<td>SPC Payments</td>
<td>85000000</td>
<td>Proposed</td>
<td>New</td>
</tr>
</tbody>
</table>

After clicking on the Position Number on the screen above, the following panel will appear:
- Click on "Proposed Budget" tab to make changes to the ChartField Spread:

  - Overtype the information.
  - Click the “+” sign to add an additional line

- If any type of increase is being given, an attachment must be submitted on the “attachments” tab.

- Click on "Proposed Position" tab.

  - Enter the Reason Code for increase and number of month funded.
  - Click Save (Saving this does not submit to budget office, and changes are still allowed.)

  - If you are COMPLETELY FINISHED with this person click on the “Confirm Proposed Budget”. Once you check this box and click save, you WILL NOT be able to make any changes again.
• Once this is confirmed, it will be sent to the Budget Office for review.
• After the Budget office has signed off, it will then be sent to Human Resources for review.
• Human Resources will then approve or deny the proposed budget and send back to the Budget Office.
• If there are any changes to be made, the Budget office will make these and then finalize the proposed budget.

Notice the drop down box “Budget Status” on the Proposed Budget page. This will allow you to search based on a variety of options.
**Adding a New Position**

- Main Menu
  - Department Self Service
  - OUHSC Position Data
    - Click "Add a New Value"
      - Enter Position Number
      - Click Add

**OUHSC Position Data**

<table>
<thead>
<tr>
<th>Find an Existing Value</th>
<th>Add a New Value</th>
</tr>
</thead>
</table>

Position Number 00000002

![Add button]

- Enter the Job Code
- Enter the DeptID
- Enter FTE
- Leave EmplID blank
- Make sure it shows "Approved" in the drop down box for Position Status.
- Click Save

**Ou Posn Data**

<table>
<thead>
<tr>
<th>Position Information</th>
<th>Find</th>
<th>View All</th>
<th>First</th>
<th>Last</th>
</tr>
</thead>
<tbody>
<tr>
<td>Position# 00000002</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>*Effective Date</td>
<td>03/30/2020</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>*Position Status</td>
<td>Approved</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>*Job Code 0315</td>
<td>Clerk, Office I</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>*Dept ID ADM001</td>
<td>Vice President Admin &amp; Finance</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FTE 0.500000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Empl ID</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

![Save, Add, Update/Display, Include History, Correct History buttons]
- OUHSC Menu Items
  - OUHSC Budget
  - Employee Setup
  - Click "Add a New Value"
  - Click Add

- Fill out Employee Information (Make sure it matches the information put in the OUHSC Data Position page.)
  - Click Save *(Notice it gives you a temporary EmplID Number.)
- OUHSC Menu Items
- OUHSC Budget
- Proposed Budget
  - Click "Add a New Value"
  - Enter EmplID and Department
  - Click Add

### Proposed Budget

<table>
<thead>
<tr>
<th>Find an Existing Value</th>
<th>Add a New Value</th>
</tr>
</thead>
</table>

Empl ID: 00001  
Department: ADM001

Add

Click on "Proposed Budget" tab to make changes to the ChartField Spread.
- Click the “+” sign to add an additional line
- Enter all information *(Note: Fringe Amt. will automatically calculate when you save.)*

---

**Position Information**
- Empl ID: 00001  
- Position Number: 00000002  
- Fiscal Year: 2021
- Name: Smith, Megan J

**Salary Information**
- Overall Percent Increase for Position: 0.00
- Overall Percent Increase for Employee: 0.00
- Overall Proposed Salary for Employee: $38,000.00
- Overall Increase Amount: $0.00

---

<table>
<thead>
<tr>
<th>Date</th>
<th>Hours</th>
<th>Fund</th>
<th>GL Org</th>
<th>Function</th>
<th>Entity</th>
<th>Project</th>
<th>Source</th>
<th>Purpose</th>
<th>Account</th>
<th>Proposed Amt</th>
<th>Fringe Amt</th>
</tr>
</thead>
<tbody>
<tr>
<td>07/07/2020</td>
<td>12.00</td>
<td>12001</td>
<td>AOH01001</td>
<td>00111</td>
<td>70008</td>
<td></td>
<td></td>
<td></td>
<td>521511</td>
<td>30,000.00</td>
<td>0.810.00</td>
</tr>
</tbody>
</table>

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**Personalize** | **Find** | **View All** | **Share** | **First** | 1 of 1 | **Last**
- Click on "Proposed Position" tab.
- Enter the Position Number you set up in the OUHSC Position Data Table.
- Enter the Reason Code for increase or change to the position.
- Enter the Number of Months Position is Funded.

- Click Save (Saving this does not submit to budget office, and changes are still allowed.)
  - If you are **COMPLETELY FINISHED** with this person click on the “Confirm Proposed Budget”. Once you check this box and click save, you **WILL NOT** be able to make any changes again.
Miscellaneous Information on Position Numbers

If an existing employee is going from an old position to a brand new position… (Same dept/org)

1. If you have a position number ready to use…
   a. Go to the proposed budget under the employee’s emplId and change the position number.
2. If you are using a position number that is currently active under another employee or vacant position…
   a. Go to the desired position number and inactivate the position.
   b. Go back to the employee you wish to put in that position number and replace it with the new number.
3. If you need a brand new position number…
   a. Go to the OUHSC Position Data page (Department Self Service > OUHSC Position Data)
   b. Follow instructions on Page 15 of the manual
   *NOTE: Do not add rows or delete information from the table.

If an existing employee is transferring from one department to another…

1. The primary department must change the org under employee setup under the employee’s current emplId to the org they are transferring to.
2. The primary department must inactivate them their current department.
3. The new department can now make changes to the employee under employee setup.
4. The new department can then add a new value with the employee’s current emplId under proposed budget with the new org and the position number wanted.

If an employee is being split between departments…

1. The new department can add a new value with the employee’s current empl ID under proposed budget with their org and use the position number wanted.
   a. The primary department is still the only one responsible for updating Employee Setup.

If an existing employee is leaving a current position and the position will not be filled…

a) Change status to Inactive in the Proposed Budget Page.
   *NOTE: Information on all tabs must still be entered even if inactivating.

***DO NOT create a V# for an existing employee.
   *Only exception is if the current employee is new after the budget is rolled on April 13th.
Steps for Completing a NonPersonnel/Operating/Revenue/Expense Position:
When entering expense budgets, you are only required to enter the ChartField spreads and amounts. You will enter a separate row for each unique piece of the budget.

Please note: Source budgets will not be set unless they are required sources. All optional source budgets will be controlled at the overall Org + Fund + Function level. While all required sources (SUAUX, EDWCH, SVCCT, EDFEE, and AUFEE) will be controlled at the Org + Fund + Function + Source level.

Examples of how Operating budgets will be translated to the GL:

Example #1: A department has EDGEN funds, none of which are identified to a specific source:

<table>
<thead>
<tr>
<th>FUND</th>
<th>GL Org</th>
<th>Function</th>
<th>Entity</th>
<th>Source</th>
<th>Ann Amt</th>
</tr>
</thead>
<tbody>
<tr>
<td>EDGEN</td>
<td>ADM101</td>
<td>00014</td>
<td>00000</td>
<td></td>
<td>$20,000</td>
</tr>
</tbody>
</table>

This will translate to the General Ledger as an overall GL ORG budget of $20,000.

Example #2: A department has MISCA funds, part of which are identified to a specific source and part of which are left to the discretion of the department:

<table>
<thead>
<tr>
<th>FUND</th>
<th>GL Org</th>
<th>Function</th>
<th>Entity</th>
<th>Source</th>
<th>Ann Amt</th>
</tr>
</thead>
<tbody>
<tr>
<td>MISCA</td>
<td>ADM101</td>
<td>00011</td>
<td>00000</td>
<td>ADM1111</td>
<td>$10,000</td>
</tr>
<tr>
<td>MISCA</td>
<td>ADM101</td>
<td>00011</td>
<td>00000</td>
<td></td>
<td>$20,000</td>
</tr>
</tbody>
</table>

This will translate to the General Ledger as an overall GL ORG budget of $30,000. NO Source budget will be established because this source is optional.

Example #3: A department has EDWCH funds, all of which are identified to specific source:

<table>
<thead>
<tr>
<th>FUND</th>
<th>GL Org</th>
<th>Function</th>
<th>Entity</th>
<th>Source</th>
<th>Ann Amt</th>
</tr>
</thead>
<tbody>
<tr>
<td>EDWCH</td>
<td>ADM101</td>
<td>00012</td>
<td>00000</td>
<td>EC111111</td>
<td>$10,000</td>
</tr>
<tr>
<td>EDWCH</td>
<td>ADM101</td>
<td>00012</td>
<td>00000</td>
<td>EC222222</td>
<td>$20,000</td>
</tr>
</tbody>
</table>

This will translate to the General Ledger as an overall GL ORG budget of $30,000 and TWO individual Source budgets. The source will be limited to the funds available in the individual source budget.

If you have questions as regarding how your budget will translate to the General Ledger, please contact the Budget Office.

Expense budgets should NOT be established for SPNSR funds. Budgets for operating expenses for SPNSR are established by Grants and Contracts Accounting at the time the award is initiated and not during budget formulation. Please contact Grants and Contracts Accounting if you have any questions concerning SPNSR budgets.

SPNSR Expenses – All non-Personnel expenses paid from the SPNSR fund should not be entered into the Budget Formulation System. Grants and Contracts Accounting will enter these directly into the General Ledger system based upon the actual awards. Personnel paid from the SPNSR fund should be entered in order to accurately set up their pay source as of July 1.

Service Unit and Auxiliary Budgets – All budgets for service units and auxiliaries must be entered during budget formulation. The Budget Office will provide Service Unit Accounting a list of the service unit and auxiliary budgets for their review.

Service units and auxiliaries have more detailed budget requirements that are required to be submitted to Service Unit Accounting. These additional requirements include a self-evaluation, a charge sheet with calculations, and an organizational chart. Service Unit Accounting will contact service units and auxiliaries to arrange for completion of the budget process. Please contact Stacey Risinger at 271-2246 if you have any questions.
Grants and Contracts Accounting has provided a list of all projects with a project end date of 6/1/2020-7/7/2020. Each of these should be reviewed with the PI to determine if the project will continue in FY21. If the project will continue, either an ECAV or extension will need to be completed. If the ECAV or extension is not completed, the project will not be available for salaries to post to on 7/1/2020.

GCA has tried to identify which of the projects will require an extension versus an ECAV, but the department is ultimately responsible for ensuring the correct action is taken. Outlined below are different scenarios that the projects have been separated into.

1. **New project period awarded:**
   a. Project requires a routing form submitted to ORA for a new year if the project is to be renewed. Please submit the routing form and ECAV to ORA.

2. **Clinical trial extension:**
   a. GCA can extend the end date of a clinical trial to the IRB expiration date if the documentation is submitted to the GCA inbox. There are a few clinical trials that require approval from the sponsor. If you submit an extension request and GCA determines that it needs sponsor approval, the GCA accountant will contact you.

3. **PHF/Harold Hamm Foundation extension:**
   a. PHF funds normally do not allow for extensions, however, in some circumstances extensions have been approved. The extension must be requested through ORA.

4. **Cost share projects:**
   a. With the reimplementation of PeopleSoft, there will no longer be the need for C9 companion accounts for cost share. These *will not* be reestablished. Departments should start using the chartfield previously provided to GCA to setup the C9. If you want to use an alternate chartfield, you will need to contact GCA.
   
   b. EDWCH tracking will be accomplished through the use of the Source field and department project tracking should be accomplished using the Purpose field, therefore, these no longer interfere with the use of the project field.

5. **Federal Streamlined Non-competing Award Process (SNAP):**
   a. Awards that are funded as a SNAP do not change project numbers from year to year. GCA will automatically extend the project out for the next period.

The FY20 project number will continue to be used for payroll from 6/21-6/30 and is the project number you should enter into the budget system. An epaf must be completed for the new FY21 project number effective dated for 7/1/2020. The epafs must be completed after the budget roll and prior to 7/1/2020.

**Note to departments working with state agencies.** Many state agencies are refusing to cover expenses prior to the execution date of the contract. This means that the contract must be fully negotiated and signed by both parties prior to expenses being allowable. Make sure you are working with your state contacts now to ensure that a contract can be in place by 7/1/2020.
**Split Position Budget Inquiry Page**

For departments who have employees that are split across colleges, an inquiry page has been developed. You can search by EmplID only.

- OUHSC Menu Items
  - OUHSC Budget
  - Budget Inquiry

**Budget Inquiry**

Click to minimize the prompt page

- **Find an Existing Value**
- **Search Criteria**

Search by: EmplID begins with 532740

**Search Results**

View All  First 1 of 1  Last

- Enter employee’s EmplID
  - Click Search

This panel will display the employee’s Position Number(s), Department(s), FTE, Current and Proposed Annual Rates, the percentage of increase for each of the employee’s positions in the budget, and the overall view of the employee.

<table>
<thead>
<tr>
<th>Position Number</th>
<th>DeptID</th>
<th>Dept Name</th>
<th>Current FTE</th>
<th>Current Annual Amt</th>
<th>Current Distrib %</th>
<th>Proposed FTE</th>
<th>Proposed Annual Amt</th>
<th>Proposed Distrib %</th>
<th>% Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 00002910</td>
<td>ADM001</td>
<td>Vice President Admin &amp; Finance</td>
<td>1.000</td>
<td>100,000.00</td>
<td>100.000</td>
<td>0.000</td>
<td>100,000.00</td>
<td>80.00</td>
<td>0.00</td>
</tr>
<tr>
<td>2 00041910</td>
<td>ADM003</td>
<td>Staff Senate</td>
<td>0.000</td>
<td>0.00</td>
<td>0.000</td>
<td>0.200</td>
<td>25,000.00</td>
<td>20.00</td>
<td>0.00</td>
</tr>
</tbody>
</table>

Overall Current Amount: $100,000.00

Overall Proposed Amount: $125,000.00

Overall Increase %: 25.00

Proposed Overall FTE: 1.000
**Reporting**

**Department Worksheets and Increase Report**

To aid in completion of your budget, departments will be able to run worksheets at their convenience.

**Accessing the Worksheets**

- OUHSC Menu Items
  - OUHSC Budget
  - Department Reports
  - Click on Budget Worksheets or Increase Rpt for Dept

**Budget Worksheets**

Enter any information you have and click Search. Leave fields blank for a list of all values.

- Find an Existing Value
- Add a New Value

Limit the number of results to (up to 300): 300

**Search by:** Run Control ID begins with

- Case Sensitive

- Search
- Advanced Search

- Enter a Run Control ID
- Click Search

**OR**

- Click Add a New Value
- Enter Run Control ID
- Click Add

**Run Control**

**Report Parameters**

- Department From: ADM001
- Department To: ADM001

- Enter Department From
- Enter Department To
- Click Run
Server Name = PSNT or PSUNX (Either one are fine)
- Type = Web
- Format = PDF
- Click OK

Click Process Monitor
Click Refresh until Run Status = Success and Posted

Click Details
Click View Log/Trace
Click on the link ending in “pdf” or “csv” to view and print the report.
Queries

- **OU_BUD_QUERY_BALANCE** – This has a few of the fields and will allow you to query your budget by Department, Fund, or GL Org. *This query will easily allow you to balance your STATE budget against your STATE target amount.*
  - **Balancing Your Budget** – Once STATE target amounts and salary guidelines have been distributed, payroll items can be completed for each employee. After entering all payroll items and carefully reviewing all positions budgeted for by your department, make the final changes as necessary to balance the STATE funds against your department’s appropriate STATE target amount.

- **OU_BUD_WORKFLOW** – This report allows you to see at a glance where the proposed compensation entries are in the approval process.

Accessing the queries:

- **Reporting Tools**
  - **Query**
  - **Query Manager**

**Query Manager**

Enter any information you have and click Search. Leave fields blank for a list of all values.

<table>
<thead>
<tr>
<th>Search By:</th>
<th>Query Name</th>
<th>begins with</th>
</tr>
</thead>
<tbody>
<tr>
<td>Search</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Advanced Search</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- Enter “OU_BUD”
  - Click Search
    - Find the budget query you want
      - Click on “Run to Excel”
For the OU_BUD_QUERY_BALANCE, you will get the following prompt box:

- Enter the From/To OU GL Org you want to query on
- Enter the From/To Fund
- Click View Results

Copy it and paste it to Excel or just save it within Excel.

For the OU_BUDGET_WORKFLOW, you will get the following prompt box:

- Enter the From/To Department (HR Org) you want to query on
- Enter the From/To Fund
- Click View Results

Copy it and paste it to Excel or just save it within Excel.
**Budget Page Definitions**

- **DeptID** – Identifies the Department that the Position belongs to.
- **EmplID** – Each employee has a unique id number, and can only be associated with them. If the person has not completed all the required paperwork, they will be assigned a temporary employee number during employee setup in budget system so the information can be placed in the Budget Book. When all the paperwork is processed in HR, the person will then be loaded into the HR system.
- **Name** – The employee’s name. The correct format for this field is “Last,First Middle”
- **Fiscal Year** – Indicates the year this position is being budgeted.
- **Employee Type** – Defines whether the position is Salaried or Exception Hourly.
- **Type** – Indicates either projected or current
- **Position Number** – The number necessary to drive the Payroll, Human Resource, and Budget Formulation Systems. Each position has a unique number, and can only be associated with one employee (i.e. two employees cannot share one position number). However, an employee may have two different position numbers IF part of the employee’s salary is funded by a different department. Each position must have defined funding or the position will not be included on the final budget. Position Numbers will be entered by the department.
  - Types of Expenses – Any (or all) of the following types of expenses may be budgeted during the Proposed phase for each department:

<table>
<thead>
<tr>
<th>EmplId #</th>
<th>Description</th>
<th>Rolls to GL Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>SPCPAY</td>
<td>Special Payments</td>
<td>EXPEND</td>
</tr>
<tr>
<td>SPCFNG</td>
<td>Special Pay Fringe Benefits</td>
<td>EXPEND</td>
</tr>
<tr>
<td>OPREXP</td>
<td>Operating</td>
<td>EXPEND</td>
</tr>
<tr>
<td>OPRREV</td>
<td>Revenue</td>
<td>N/A</td>
</tr>
<tr>
<td>OPRCMP</td>
<td>Compensation</td>
<td>EXPEND</td>
</tr>
<tr>
<td>INCAY</td>
<td>Incentive Payments</td>
<td>EXPEND</td>
</tr>
<tr>
<td>INCFNG</td>
<td>Incentive Fringe Benefits</td>
<td>EXPEND</td>
</tr>
<tr>
<td>PPPPAY</td>
<td>PPP Payments</td>
<td>EXPEND</td>
</tr>
<tr>
<td>PPPBEN</td>
<td>PPP Fringe Benefits</td>
<td>EXPEND</td>
</tr>
<tr>
<td>RETBEN</td>
<td>Retired Benefits</td>
<td>EXPEND</td>
</tr>
</tbody>
</table>
  - Operating Budgets – (EmplId OPREXP) are not pre-loaded. All amounts should be reviewed and entered as appropriate. If you will not be using a ChartField spread, delete the row.
  - Revenue Budgets – (EmplId OPRREV) are not pre-loaded. All amounts should be reviewed and entered as appropriate. If you will not be using a ChartField spread, delete the row.
  - Compensation Budgets – (EmplId OPRCMP) are not pre-loaded. This should be entered as a lump sum for salary increases anticipated later but not approved during budget. This sum will need to include fringe. All amounts should be reviewed and entered as appropriate. If you will not be using a ChartField spread, delete the row.
  - Terminal Vacation – Do not place employees on the budget who have terminated their employment as of June 30, 2019, or prior, although their vacation will not be fully paid until July 1 or later. If you place an employee who has terminated on the budget, you will have to do an e-PAF a second time correcting the budget.
- **Position Status** – This field further defines the position and aids in reporting. This field includes the following values: Proposed, Inactive, and New.
o Positions No Longer Used – If your department has positions that should **not** be funded, change the Position Status to “**Inactive**” on the budget page. This will prevent the position from being included in the budget, but will still leave it available for reporting if needed. A termination e-PAF **MUST** be submitted to Human Resources for an employee to be terminated.

- **Number of Months Position is Funded** – Indicates the number of months an employee is paid. Most employees are on a 12 month contract; however, some faculty are on shorter contracts (typically 9 or 10 months).
- **Reason Code** – Identifies the explanation for increase or change.
- **Primary Department** – Each employee has **only one** Primary Department. For budget purposes this department is generally the one that provides the majority of the funding.
- **Job Code** – A value assigned to each Job Title by Human Resources.
  o **Title Changes** – Title changes may be made during the process **with the completion of an e-PAF information**. The only exception to the requirement is for Faculty Promotions that have been approved by the OU Regents. Human Resources will coordinate with the Budget Office to ensure titles are correct on the final budget.
- **Location** – It is necessary to capture the physical location where employees work. You must complete this field for all employees. This information will be used for Job Postings, when a position is posted in Recruit workforce to differentiate between the various locations people may actually be working. It will allow applicants in Tulsa or other places to narrow down the search to local positions only. If a person works in multiple locations, select the location where he/she spends most of their time. You must use one of the following valid locations:

<table>
<thead>
<tr>
<th>TULSA</th>
<th>OKMULGEE</th>
<th>WOODWARD</th>
</tr>
</thead>
<tbody>
<tr>
<td>ENID</td>
<td>BARTLESVLE</td>
<td>OKC</td>
</tr>
<tr>
<td>ADA</td>
<td>LAWTON</td>
<td>NORMAN</td>
</tr>
<tr>
<td>IDABEL</td>
<td>MIAMI</td>
<td>MCALESTER</td>
</tr>
<tr>
<td>ELKCITY</td>
<td>POTEAU</td>
<td>RAMONA</td>
</tr>
</tbody>
</table>

- **Overall FTE** – Refers to percentage of hours worked by an employee of a specified work year (2080 hours). An employee’s FTE **cannot** exceed 1.0 (or 100%) as shown on the page above. The Budget Formulation System includes **two separate FTE values**. “Position FTE” represents the percentage of time provided by that position in relation to the total time provided by all positions for that employee. “Employee FTE” represents the combined full time equivalent of all positions the employee holds.

  **Example:** If an employee is budgeted for one position, the position FTE and employee FTE would be the **same**. However, if an employee is budgeted in **two** positions and one provides 75% of the **total time** for that employee, the FTE for that position is .75 and the other position would be .25. The overall employee FTE would be 1.00.
**PeopleSoft ChartField Spread Definitions**

The PeopleSoft ChartField Spread comprises several individual blocks of data. Each block is a ChartField, and any unique combination of all ChartField values is called a ChartField Spread. Below are the individual ChartFields that make up the ChartField Spread.

**ChartField Data:**

<table>
<thead>
<tr>
<th>ChartField Data</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Begin Date</strong></td>
<td>The first date the ChartField spread is effective for this position (typically the beginning of the fiscal year).</td>
</tr>
<tr>
<td><strong>Months</strong></td>
<td>The number of months the source of pay is effective (typically this will be 12).</td>
</tr>
<tr>
<td><strong>Fund</strong></td>
<td>This ChartField establishes the highest level of accounting and budgeting concern at OUHSC. The exhibit below maps each Fund value to the State Fund that holds the cash for that value.</td>
</tr>
</tbody>
</table>

**ChartField Values** – In order to use a ChartField value during Budget Formulation, it **must** be valid in the **new** system. If it has not been submitted as part of your crosswalk chartfield spread and you would like to use it during Budget Formulation, you must submit the request to Scott Stuart and the Budget Office. They will work to make the attributes available for your use as quickly as possible.

- **Begin Date** – The first date the ChartField spread is effective for this position (typically the beginning of the fiscal year).
  - Employees/Students cannot occupy multiple positions with multiple start dates. If the employee/student is transferring to another position mid-year, **do not** put them in both positions. When an employee/student is in two positions with different start dates, it causes significant issues when the data rolls back to HR. If you have an unusual situation, please contact the Budget Office.
  - Only ChartField spreads beginning with 07/01 (or the first effective ChartField spread of a position for those not beginning 07/01) will roll into the HR system. Currently, future dated rows cannot be rolled to HR. While it is acceptable, and in some cases desirable, to budget mid-year increases/changes on this page, you must submit paperwork to Human Resources before the change will take effect.

- **Months** – The number of months the source of pay is effective (typically this will be 12).
  - The system will **NOT** calculate ½ months.

- **Fund** – This ChartField establishes the highest level of accounting and budgeting concern at OUHSC. The exhibit below maps each Fund value to the State Fund that holds the cash for that value.

*The 701 Fund is the State fund that holds all non-appropriated and unrestricted revenue:*

<table>
<thead>
<tr>
<th>PeopleSoft Fund</th>
<th>PeopleSoft Fund Description</th>
<th>OSF Fund Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CLNOP</td>
<td>Clinical Operations</td>
<td>701</td>
<td>All other clinical activity</td>
</tr>
<tr>
<td>CLNOU</td>
<td>Clinical Operations - OU Medicine</td>
<td>701</td>
<td>Clinical Operations associated with OU Medicine enterprise</td>
</tr>
<tr>
<td>RSOKC</td>
<td>Residency Program - OKC</td>
<td>701</td>
<td>OKC Residency Program</td>
</tr>
</tbody>
</table>
### RSTUL RSTUL Residency Program – Tulsa 701 Tulsa Residency Program

### MISCA MISCA Miscellaneous Agency Special Funds 701 Misc Agency activity

### SUAUX SUAUX Service Unit & Auxiliary Enterprises 701 Service unit and auxiliary activity

### AGENC AGENC Agency 701 Student organizations (self-generated funds)

### SVCCT SVCCT Service Contracts 701 Fee for service professional agreements

### AUFEE AUFEE Student Agency/Auxiliary fees 701 Student fees received through Bursar

### OUFND OUFND OU Foundation Reimbursable Exp 701 OUF reimbursed expenses

The 290 Fund is the State fund that holds our State Appropriation and Tuition and Fee revenue, as well as our Endowed Chair transactions:

<table>
<thead>
<tr>
<th>PeopleSoft Fund</th>
<th>PeopleSoft Fund Description</th>
<th>OSF Fund Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>EDGEN</td>
<td>Educ &amp; Gen Allocated</td>
<td>290</td>
<td>State Budgeted accounts, formerly STATE fund</td>
</tr>
<tr>
<td>EDFEE</td>
<td>Educ &amp; Gen Student Fees</td>
<td>290</td>
<td>Student Fees received through Bursar, formerly STATE fund</td>
</tr>
<tr>
<td>EDWCH</td>
<td>Endowed Chairs/Professorships</td>
<td>290</td>
<td>Endowed Chairs/Professorship accounts</td>
</tr>
</tbody>
</table>

The 430 Fund is the State fund that holds all revenue provided by Grantors, Donors, and other providers who place restrictions or conditions on the funds expenditure:

<table>
<thead>
<tr>
<th>PeopleSoft Fund</th>
<th>PeopleSoft Fund Description</th>
<th>OSF Fund Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SPNSR</td>
<td>Sponsored Program</td>
<td>430</td>
<td>Sponsored research accounts</td>
</tr>
<tr>
<td>NONSP</td>
<td>Nonsponsored research - carryover</td>
<td>430</td>
<td>Nonsponsored research carryover accounts. Formerly MISCD fund.</td>
</tr>
</tbody>
</table>

Please note: The SPNSR fund can ONLY be used in conjunction with a Project/Grant beginning with ‘C#’ or in the new PeopleSoft environment with an auto generated number assigned by Grants and Contracts Accounting. Also, EXTREME CARE must be exercised when considering budget transfers and source changes. Generally, it is NOT OK to cross Funds.

- **GL Org** – This ChartField represents the College/Department/Section to be charged for an expenditure. Keep in mind that some GL Orgs are merely “place-holders” and will be used for reporting only. You should make sure which GL Orgs in your area can actually receive budget and accept charges for expenditures.
- **HR Dept vs. GL Org** – The HR Dept is PeopleSoft’s way of identifying the department. It is *not* the same as the GL Org. Frequently, these two may share the same value, but they are not the same. The HR Dept is for Human Resources, ETR, and Budget Book purposes, while the GL Org is for budgetary control and accounting purposes in the General Ledger. The HR Dept identifies the department a position belongs to, while the GL Org identifies how that position is being paid.

- **Function** – This ChartField represents the purpose for which funds are spent. The valid values are listed below and are explained in detail beginning on page 32.
  - The following chart lists the most commonly used Functions which may help to determine which Function value to use during Budget Formulation:

<table>
<thead>
<tr>
<th>Function</th>
<th>Budget Personnel as:</th>
<th>Budget Expense as:</th>
<th>Use for Vouchers:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instruction</td>
<td>00111, 00211, 00311, 00411</td>
<td>00011</td>
<td>00111, 00211, 00311, 00411</td>
</tr>
<tr>
<td>Instruction - SPNSR</td>
<td>00111</td>
<td>N/A</td>
<td>00111</td>
</tr>
<tr>
<td>Research</td>
<td>00012</td>
<td>00012</td>
<td>00012</td>
</tr>
<tr>
<td>Public Service</td>
<td>00013</td>
<td>00013</td>
<td>00013</td>
</tr>
<tr>
<td>Academic Support</td>
<td>00014</td>
<td>00014</td>
<td>00014</td>
</tr>
<tr>
<td>Academic Support – IT Only</td>
<td>00814</td>
<td>00814</td>
<td>00814</td>
</tr>
<tr>
<td>Student Services</td>
<td>00015</td>
<td>00015</td>
<td>00015</td>
</tr>
<tr>
<td>Institutional Support</td>
<td>00116, 00216</td>
<td>00016</td>
<td>00116, 00216</td>
</tr>
<tr>
<td>Institutional Support – IT Only</td>
<td>00816</td>
<td>00816</td>
<td>00816</td>
</tr>
<tr>
<td>Operation and Maintenance of Plant</td>
<td>00017</td>
<td>00017</td>
<td>00017</td>
</tr>
<tr>
<td>Scholarships and Fellowships</td>
<td>00018</td>
<td>00018</td>
<td>00018</td>
</tr>
<tr>
<td>Clinical Operations</td>
<td>00124, 00224, 00324, 00424, 00524, 00624</td>
<td>00024</td>
<td>00124, 00224, 00324, 00424, 00524, 00624</td>
</tr>
<tr>
<td>Agency-Student/Staff/Faculty</td>
<td>00031</td>
<td>00031</td>
<td>00031</td>
</tr>
<tr>
<td>Auxiliary Enterprises</td>
<td>00051</td>
<td>00051</td>
<td>00051</td>
</tr>
<tr>
<td>Service Units</td>
<td>00061</td>
<td>00061</td>
<td>00061</td>
</tr>
<tr>
<td>Recharge Centers</td>
<td>00071</td>
<td>00071</td>
<td>00071</td>
</tr>
</tbody>
</table>

- **Entity** – This ChartField is reserved for departmental use for the purpose of tracking expenditures by employee/person. Ranges of values have been assigned to each department. If a department chooses not to use a subclass then 00000 should be entered.

- **Project/Grant** – Used to track transactional information for a specific Sponsored Program.

- **Source** – Used to track transactional information for an Endowed Chair, Service Unit, Auxiliary Enterprise, Student Fees processed through the Bursar, or optional value as established by a college/department.

- **Purpose** – Optional field used to track transactional information established by a college/department.

- **GL Account** – Also referred to by the Human Resources department as the Fringe Benefit Account – This ChartField represents the specific type of payroll account (salary, wages, etc.) to be used to determine the fringe benefits that will be charged. It is derived based on type of employee, Job Code, FTE, etc.

- **Proposed Amount** – Represents what the position’s budget for FY21 will be, if approved by the Regents.

- **Fringe Amount** – The amount of fringe benefits to be charged the ChartField spread. This amount is derived based on the Fund and HR Account Code. This field will not populate or change until the panel is “Saved”.

*Please note:* The fringe benefit rates have been built into the Budget Formulation System and will automatically calculate for personnel positions. You no longer have to manually calculate and input those. However, you *must* calculate and enter the fringe
benefits for Special Payments, Incentive Payments, and PPP Payments. Due to the nature of these types of payments, there is no set rate and therefore, the Budget Formulation System cannot calculate the fringe for these positions.

**Fringe Benefit Rates:**
The University does not charge fringe benefits by actual amount; instead rates are applied depending on the type of employee, FTE, and source of funds. The current rates are:

- **31.10%** Full-Time Salaried and Hourly Faculty/Staff (50% FTE or more)
- **34.70%** Full-Time Salaried and Hourly Faculty/Staff (50% FTE or more) with appointments to sponsored programs (Fund is SPSNR and Project begins with C#)
- **7.70%** Part-Time Salaried and Hourly Faculty/Staff (Less than 50% FTE; includes temps and student assistants that are subject to FICA/Medicare taxes)
- **20.60%** Residents and Fellows (includes post-doctoral research fellows)
- **1.90%** Students (includes trainees, graduate research assistants, graduate teaching assistants, and pre-doctoral fellows)

**Rate of Pay** – PeopleSoft requires tracking of monthly rates for **all** employees, regardless of whether they are hourly or salaried. In order to achieve consistent rates of pay among employees with the same hourly rate of pay, job title, and FTE, enter exactly the same annual rate (monthly x 12) for each employee in the Budget Formulation System. When the roll to HR occurs, these employees will be given the same hourly rate, monthly rate, and annual rate. On paperwork, or the e-PAF information, complete the monthly amount field, regardless of whether an employee is hourly or salaried. This will ensure the correct hourly and annual rates are assigned in PeopleSoft.

“Legal” ChartField spreads include:

<table>
<thead>
<tr>
<th>Fund</th>
<th>Function</th>
<th>Project (Grants use only)</th>
<th>Source/Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>AGENC</td>
<td>MUST be 00031</td>
<td>N/A</td>
<td>Optional, cannot begin with EC, EH, AH, SU, or AX</td>
</tr>
<tr>
<td>AUFEE</td>
<td>Varies by fee type</td>
<td>N/A</td>
<td>Required source, MUST begin with AH</td>
</tr>
<tr>
<td>CLNOP and CLNOU</td>
<td>Should primarily be 00024</td>
<td>C# or Grants assigned number for cost share</td>
<td>Optional, cannot begin with EC, EH, AH, SU, or AX</td>
</tr>
<tr>
<td>EDFEE</td>
<td>Varies by fee type</td>
<td>N/A</td>
<td>Required source, MUST begin with EH</td>
</tr>
<tr>
<td>EDGEN</td>
<td>Any, except 00030, 00031, 00051, 00061, or 00071</td>
<td>C# or Grants assigned number for cost share</td>
<td>Optional, cannot begin with EC, EH, AH, SU, or AX</td>
</tr>
<tr>
<td>EDWCH</td>
<td>Should primarily be 00011 or 00012</td>
<td>C# or Grants assigned number for cost share</td>
<td>Required source, MUST begin with EC</td>
</tr>
<tr>
<td>MISCA</td>
<td>Any, except 00031, 00051, 00061, or 00071</td>
<td>C# or Grants assigned number for cost share</td>
<td>Optional, cannot begin with EC, EH, AH, SU, or AX</td>
</tr>
<tr>
<td>NONSP</td>
<td>Any, except 00017, 00031, 00051, 00061, or 00071</td>
<td>C# or Grants assigned number for cost share</td>
<td>Optional, cannot begin with EC, EH, AH, SU, or AX</td>
</tr>
<tr>
<td>RSOKC and RSTUL</td>
<td>Should primarily be 00011</td>
<td>N/A</td>
<td>Optional, cannot begin with EC, EH, AH, SU, or AX</td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>SPNSR</th>
<th>MUST be 00011, 00012, 00013, or 00018. Each project can have only one Program.</th>
<th>Required, MUST begin with C# or Grants assigned number.</th>
<th>Optional, cannot begin with EC, EH, AH, SU, or AX.</th>
</tr>
</thead>
<tbody>
<tr>
<td>SP490</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SUAUX</td>
<td>MUST be 00051</td>
<td>N/A</td>
<td>Required source, MUST begin with AX.</td>
</tr>
<tr>
<td>SUAUX</td>
<td>MUST be 00061 or 00071</td>
<td>N/A</td>
<td>Required source, MUST begin with SU.</td>
</tr>
<tr>
<td>SVCCT</td>
<td>MUST be 00013</td>
<td>N/A</td>
<td>Required source, MUST begin with SC.</td>
</tr>
</tbody>
</table>

For **optional** Sources and Purposes, the first characters **must** be the assigned values for that department.

In addition, C# projects or project numbers assigned by Grants (required for SPNSR fund) can be associated with **only one** GL Org and **only one** Function. The appropriate GL Org and Project will be assigned by Grants and Contracts Accounting when the project is established.

### SVCCT Fund

The SVCCT Fund is a non-appropriated fund established to administer “fee for service professional agreements.” These agreements route through the Office of Research Administration and carry an overhead recovery requirement. The Fund translates to OSF fund number 701. The SVCCT Fund carries a required source association beginning with “SC.” Source numbers are assigned by Grants and Contracts Accounting. Since these are service agreements, program 00013 should be the only function tied to the source value administered in the Fund.

To give you some idea of what types of services are being provided under these agreements, the following examples were taken from actual agreements.

- Perform MALLS analyses on samples of hyaluronic acid.
- Test compounds in *in vitro* wound healing assays.
- Provide HLA typing of samples provided by contractor.

Once you have entered a legal ChartField spread, the system will search HR for an existing HR Account Code. If none exists, the system will assign a generic HR Account Code. All HR Account Code spreads will be reviewed by the Budget Office, Human Resources, and Grants and Contracts Accounting to ensure they comply with established University policies. If the spread is in agreement with University policies, a new HR Account Code will be established; otherwise, the department will be contacted to change the spread.

### Oklahoma State Department of Health (OSDH)

- OSDH effective dates their contracts as of the date of final signature and issue of a PO. If a fully executed contract (complete with their PO number) is not in place by July 1st, OSDH may not pay for services performed between July 1st and the effective date of the contract. An ECAV will be accepted; but the alternate source will be used automatically if the OSDH will not honor costs incurred prior to the effective date of the contract.

### Pre IRB-IACUC Spending Authority

- All chartfields involving the fund SPNSR that require either IRB approval or IACUC approval will need to have approval in place that extends through the term of the project/grant. If approvals have not been made, NO OBLIGATIONS MAY BE MADE AGAINST THIS PROJECT FOR ANY RESEARCH INVOLVING HUMAN AND/OR ANIMAL SUBJECTS UNLESS THE IRB AND/OR IACUC IS CURRENT.

If you have any questions regarding the appropriateness of a ChartField spread, please call General Accounting at 271-2355; for SPNSR funds, call Grants and Contracts Accounting at 271-2177.
Function Definitions

Function 00011 - Instruction (Note: this is a roll-up Function and should NOT be used directly; use the SPECIFIC Function codes shown below). – Expenditures for all activities that are part of an institution’s instruction program. The Instruction code includes those activities carried out for the express purpose of eliciting some measure of educational change in a learner or group of learners. “Educational change” is defined to include (1) the acquisition or improved understanding of some portion of a body of knowledge, (2) the adoption of new or different attitudes, and (3) the acquisition or increased mastery of a skill or set of skills. The activities that may be carried out to elicit these educational changes include both teaching activities and facilitating activities. (Note: Facilitating activities are more commonly associated with the design and guidance of a learning experience rather than with teaching something to a learner.) Facilitating is considered an integral part of the design and conduct of an instructional program, but academic advising generally is carried out as a support Function for an instructional program. Therefore academic-advising activities are classified within the Academic Support function. Expenditures for credit and non-credit courses (except extension non-credit courses), for academic, vocational, and technical instruction, for remedial and tutorial instruction, and for regular, special, and extension sessions should be included. Expenditures for departmental research and public service that are not separately budgeted should be included in this classification. This Function excludes expenditures for academic administration when the primary assignment is administration—for example, academic deans. However, expenditures for department chairpersons, in which instruction is still an important role of the administrator, are included in this Function.

Function 00111 – Instruction – Expenditures for all instruction activities as defined above. As a general rule, most faculty will use this code unless they are primarily performing Research (Prog 12) or Departmental Research (Prog 311).

Function 00211 – Departmental Business Administration (Non-Faculty) – Instruction – Includes expenditures for administrative and supporting services performed by non-faculty departmental personnel in support of the Instruction mission. Faculty should not be budgeted with this code.

Function 00311 – Departmental Research – Research, development, and scholarly activities that are not organized research and, consequently, are not separately budgeted and accounted for. Departmental research is considered as a part of the Instruction function.

Function 00411 – Residency Support – Residency expenditures that are incurred in support of the College residency program.

Function 00012 - Research – Expenditures for activities specifically organized to produce research outcomes, whether commissioned by an agency external to the institution or separately budgeted and accounted for by an organizational unit within the institution. The Research code includes those activities intended to produce one or more research outcomes including the creation of knowledge, the organization of knowledge, and the application of knowledge. Subject to these conditions, it includes expenditures for individual and/or project research as well as those of institutes and research centers. This Function does not include all sponsored programs nor is it necessarily limited to sponsored research, since internally supported research programs, if separately budgeted and accounted for by the institution under an internal application of institutional funds, might be included in this Function under the circumstances described above. Instructional activities, such as workshops, short courses, and training grants, should not be classified within the Research function but should be classified as part of Instruction unless they satisfy the specific criteria outlined for inclusion within the Public Service function. This Function includes the following: Institutes and research centers—Includes expenditures for research activities that are part of a formal research organization created to manage a number of research efforts. While this function includes agricultural experiment stations, it does not include federally funded research and development centers, which should be classified as independent operations. Individual and project research—Includes expenditures for research activities that normally are managed within academic departments. Such
activities may have been undertaken as the result of a research contract or grant or through a specific allocation of the institution's general resources.

**Function 00013 - Public Service** – Expenditures for activities that are established primarily to provide non-instructional services beneficial to individuals and groups external to the institution. The Public Service function includes those program elements established to make available to the public the various unique resources and capabilities of the institution for the specific purpose of responding to a community need or solving a community problem. This function includes the provision of institutional facilities, as well as those services of the faculty and staff that are made available outside the context of the institution's regular instruction and research programs. These activities include community service programs (excluding instructional activities) and cooperative extension services. Included in this Function are conferences, institutes, general advisory services, reference bureaus, radio and television, consulting, and similar non-instructional services to particular sectors of the community. If a particular set of activities was initiated and funded by an external group or agency apart from the institution's normal instruction or research programs, those activities generally should be included in the Public Service function. The rationale for this classification is that the institution is making available its particular unique resources, services, and expertise in order to either serve a community need or solve a community problem.

**Function 00014 - Academic Support** – Expenditures primarily to provide support services for the institution's primary missions--instruction, research, and public service. It includes: (1) the retention, preservation, and display of educational materials--for example, libraries, museums, and galleries; (2) the provision of services that directly assist the academic functions of the institution, such as demonstration schools associated with a department, school, or college of education; (3) media such as audiovisual services and technology such as computing support; (4) academic administration (including academic deans but not department chairmen) and personnel development providing administration support and management direction to the three primary missions; and (5) separately budgeted support for course and curriculum development. For institutions that currently charge certain of the expenditures--for example, computing support--directly to the various operating units of the institution, this Function does not reflect such expenditures.

**Academic Administration** – Includes expenditures for activities specifically designed and carried out to provide administrative and management support to the academic programs. This sub-activity is intended to separately identify only expenditures for activities formally organized and/or separately budgeted for academic administration. It includes the expenditures of academic deans (including deans of research, deans of graduate schools, and college deans), but does not include the expenditures of departmental chairpersons (which are included in the appropriate primary function categories). It also includes expenditures for formally organized and/or separately budgeted academic advising. Expenditures associated with the office of the chief academic officer of the institution are not included in this sub-activity, but should be classified as Institutional Support.

**Other Academic Support** – Includes expenditures for administrative and supporting services performed by non-faculty departmental personnel.

**Libraries** – Includes expenditures for organized activities that directly support the operation of a catalogued or otherwise classified collection.

**Museums and Galleries** – Includes expenditures for organized activities that provide for the collection, preservation, and exhibition of historical materials, art objects, scientific displays, etc. Libraries are excluded.

**Educational Media Services** – Includes expenditures for organized activities providing audiovisual and other services that aid in the transmission of information in support of the institution's instruction, research, and public service programs.
Ancillary Support – Includes expenditures for organized activities that provide support services to the three primary programs, but that are not appropriately classified in the previous sub-activities. Ancillary support activities usually provide a mechanism through which students can gain practical experience. An example of ancillary support is a demonstration school associated with the school of education. However, the expenditures of teaching hospitals are excluded.

Personnel Development – Includes expenditures for activities that provide the faculty with opportunities for personal and professional growth and development to the extent that such activities are formally organized and/or separately budgeted. This sub-activity also includes formally organized and/or separately budgeted activities that evaluate and reward professional performance of the faculty. Included in this sub-activity are sabbaticals, faculty awards, and organized development programs.

Course and Curriculum Development – Includes expenditures for activities established either to significantly improve or to add to the institution's instructional offerings, but only to the extent that such activities are formally organized and/or separately budgeted.

Function 00015 - Student Services – Expenditures for offices of admissions and registrar and those activities whose primary purpose is to contribute to the student's emotional and physical well-being and to his or her intellectual, cultural, and social development outside the context of the formal instruction program. It includes expenditures for student activities, cultural events, student newspaper, intramural athletics, student organizations, intercollegiate athletics (if the program is operated as an integral part of the department of physical education and not as an essentially self-supporting activity), counseling and career guidance (excluding informal academic counseling by the faculty) student aid administration, and student health service (if not operated as an essentially self-supporting activity).

Function 00016 - Institutional Support (Note: this is a roll-up Function and should NOT be used directly; use the SPECIFIC Function codes shown below) – Expenditures for: (1) central executive-level activities concerned with management and long-range planning of the entire institution, such as the governing board, planning and programming, and legal services; (2) fiscal operations, including the investment office; (3) administrative data processing; (4) space management; (5) employee personnel and records; (6) logistical activities that provide procurement, storerooms, safety, security, printing, and transportation services to the institution; (7) support services to faculty and staff that are not operated as auxiliary enterprises; and (8) activities concerned with community and alumni relations, including development and fund raising. The overall objective of the Institutional Support Function is to provide for the institution's organizational effectiveness and continuity. Appropriate allocations of institutional support should be made to auxiliary enterprises, hospitals, and any other activities not reported under the Educational and General heading of expenditures.

Function 00016 - Institutional Support – Expenditures for all institutional support activities as defined above.

Function 00216 - Sponsored Programs Administration – To be used only by the Office of Research Administration and by Grants and Contracts Accounting.

Function 00017 - Operation and Maintenance of Plant – Expenditures of current operating funds for the operation and maintenance of physical plant, in all cases net of amounts charged to auxiliary enterprises, hospitals, and independent operations. It does not include expenditures made from the institutional plant fund accounts. It includes all expenditures for operations established to provide services and maintenance related to grounds and facilities. Also included are utilities, fire protection, property insurance, and similar items.

Function 00018 - Scholarships and Fellowships – Expenditures for scholarships and fellowships--from current unrestricted funds--in the form of grants to students, resulting either from selection by the institution or from an entitlement program. It also should include trainee stipends, prizes, and awards, except trainee stipends awarded to individuals who are not enrolled in formal course work, which should be charged to instruction, research, or public service as appropriate. If the institution is given custody of
the funds, but there is neither a selection by the institution nor an entitlement program, the funds should
generally be accounted for and reported in the Agency Funds group rather than in the Current Funds
group. Recipients of grants are not required to perform service to the institution as consideration for the
grant, nor are they expected to repay the amount of the grant to the funding source. When services are
required in exchange for financial assistance, as in the federal College Work-Study Program, the charges
should be classified as expenditures of the department or organizational unit to which the service is
rendered. Aid to students in the form of tuition or fee remissions also should be included in this Function.
However, remissions of tuition or fees granted because of faculty or staff status, or family relationship of
students to faculty or staff, should be recorded as staff benefit expenditures in the appropriate Functional
expenditure Function. This Activity/Function includes the following: Scholarships which includes
grants-in-aid, trainee stipends, tuition and fee waivers, and prizes to undergraduate students. Fellowships
which includes grants-in-aid and trainee stipends to graduate students. It does not include funds for
which services to the institution must be rendered, such as payments for teaching.

Function 00024 - Clinical Operations – (Note: this is a roll-up Function and should NOT be used
directly; use the SPECIFIC Function codes shown below) – Includes all activities related to the operation
and administration of clinics. Also includes Professional Practice Plan (PPP) Supplements.

Function 00124 - Clinical Operations – Expenditures for all clinical operations activities as
defined above.

Function 00224 - Departmental Business Administration (Non-Faculty) – Clinical Operations –
Includes expenditures for administrative and supporting services performed by non-faculty
departmental personnel in support of the Clinical Operations function.

Function 00324 – Clinical Operations – Educational Services – expenditures incurred with
clinical funds that are in support of the educational mission rather than the clinical mission.

Function 00424 – GME Support – Program Directors – includes expenditures made from clinical
funds in support of program directors for the residency program in the college.

Function 00524 – Hospital Support – expenditures which are made from income derived from
hospital support contracts.

Function 00624 – Clinical Billing Costs – expenditures for specific clinical billing costs

Function 00031 – Agency-Student/Staff/Faculty Organizations – Includes all activities related to funds
that are not controlled by the University but are held in agency by the University for student, faculty, and
staff organizations.

Function 00051 - Auxiliary Enterprises – Includes all activities related to the operation and
administration of Auxiliary Enterprises.

Function 00061 - Service Units – Includes all activities related to the operation and administration of
Service Units.

Function 00071 – Recharge Centers – Includes all activities related to the operation and administration
of Recharge Centers.
Budget Revision

The budget revision process and forms are in the process of being developed. These should be out soon.