Welcome

FIS TOF Training
Agenda

- Budget Process
- Chart of Accounts
- TOF Restrictions
- TOF Processing
- Query Screens/Tracing TOF’s
- Questions
- Proficiency Exercise
Budget Process

- Permanent Budget
- Current or Operating Budget
Permanent Budget

- Financial Manager’s Workbench (FMW)
  - Independent of FIS
  - Manages permanent budget
    - Permanent funding $$
    - Permanent FTE (Full Time Equivalency)
  - Annual interface with FIS
  - “Next” year
  - Does not include Contracts & Grants
## Permanent Budget Details by Organization Level
(Includes Revenue Accounts)

### 1234 Division Administration

<table>
<thead>
<tr>
<th>Fund, Org, Account Pool</th>
<th>Trans. Type</th>
<th>FTE</th>
<th>Budget</th>
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<tbody>
<tr>
<td>19900 General State Appropriations</td>
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<tr>
<td>404567 Div/Admin &amp; Curriculum</td>
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<tr>
<td><strong>Total</strong></td>
<td></td>
<td>12.25</td>
<td>785,000</td>
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Current Budget

- FIS Banner
  - Permanent budget from FMW
  - Prior year carry forward
  - Contracts & Grants
  - One-time allocations for special projects (UCOP, Campus Provost, Vice Chancellor, Dean)
  - Mid-year adjustments for salary actions (merits, range adjustments, reclasses, etc.)

- TOF’s affect current year (FIS) only
### Operating Budget

<table>
<thead>
<tr>
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<th>2015</th>
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<th>Permanent</th>
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<td>19900 General State Appropriations</td>
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<tr>
<td>B00000 ACADEMIC SALARIES</td>
<td></td>
<td>100,000.00</td>
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<tr>
<td>B01000 STAFF SALARIES</td>
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<td>650,000.00</td>
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<td>B08000 Unallocated-Budget</td>
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<td>98,500.00</td>
<td>98,500.00</td>
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<tr>
<td><strong>Total 19900 General State Appropriations</strong></td>
<td></td>
<td>55,000.00</td>
<td>785,000.00</td>
<td>128,500.00</td>
<td>968,500.00</td>
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</tbody>
</table>

| Total 404567 Div/Admin & Curriculum |             | 55,000.00 | 785,000.00 | 128,500.00 | 968,500.00 |

| Total                      |                 | 55,000.00 | 785,000.00 | 128,500.00 | 968,500.00 |
# Operating Budget Report View

## ACADEMIC SALARIES

<table>
<thead>
<tr>
<th>Account</th>
<th>Account Title</th>
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<th>Description</th>
<th>Doc Code</th>
<th>Ref 1</th>
<th>Ref 2</th>
<th>Budget</th>
<th>Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>B00000</td>
<td>ACADEMIC SALARIES</td>
<td>07/01/15</td>
<td>JULY 1 ADJ. BUDGET</td>
<td>ZN000106</td>
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<td>100,000.00</td>
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</table>

## STAFF SALARIES

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<th>Ref 1</th>
<th>Ref 2</th>
<th>Budget</th>
<th>Expenses</th>
</tr>
</thead>
<tbody>
<tr>
<td>B01000</td>
<td>STAFF SALARIES</td>
<td>07/01/15</td>
<td>JULY 1 ADJ. BUDGET</td>
<td>ZN000106</td>
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<td></td>
<td>650,000.00</td>
<td>650,000.00</td>
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</tbody>
</table>

## NON-CAPITAL EXPENDITURE-BUDGET

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</tr>
</thead>
<tbody>
<tr>
<td>B03000</td>
<td>NON-CAPITAL EXPENDITURE-BUDGET</td>
<td>09/12/15</td>
<td>To Prof Green for Seminar</td>
<td>J0441000</td>
<td></td>
<td></td>
<td>(20,000.00)</td>
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<tr>
<td>B03000</td>
<td>NON-CAPITAL EXPENDITURE-BUDGET</td>
<td>09/10/15</td>
<td>FY16 Supplemental Funding fr EVC</td>
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## UNALLOCATED BUDGET

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<thead>
<tr>
<th>Account</th>
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<th>Budget</th>
<th>Expenses</th>
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<tr>
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## CARRYFORWARD FROM PRIOR YEAR

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<th>Budget</th>
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Chart of Accounts
FIS Chart of Accounts – FOAPAL

- **Fund** – Defines and categorizes source
- **Organization** – Defines whose funds
- **Account** – Defines and categorizes budget or expenditure
- **Program** – Defines function (Instruction, Research, Public Service, Libraries)
- **Activity** – User defined; unit level accounting
- **Location** – Building; not used at this time
FIS Chart of Accounts - Elements

- Fund Types
  - General Funds (199XX)
  - Student Fees (20000-20399)
  - Endowments (3XXXX)
  - Gifts & Grants (57000-59999)
  - Federal Government (21000-33999)
  - Agency (00001-00300)
  - Loan Funds (02000-03999)
  - Service Enterprise (66000-68999)
  - Auxiliary Enterprise (70200-74999)
  - Plant Funds (01XXX)
FIS Chart of Accounts - Elements

- Data Enterable Organization Codes
  - Instruction (40XXXX)
  - Academic Support (43XXXX)
  - Research (44-59XXXX)
  - Libraries (60XXXX)
  - Public Service (62XXXX)
  - Maint & Op of Phys Plant (64XXXX)
  - General Administration (66XXXX)
  - Student Services (68XXXX)
  - Institutional Support (72XXXX)
  - Auxiliary Enterprise (76XXXX)
  - Unallocated (80XXXX)
  - Plant construction (97XXXX)
FIS Chart of Accounts - Elements

- Program/Organization Types
  - 40 Instruction
  - 43 Academic Support
  - 44 Research
  - 60 Libraries
  - 62 Public Service
  - 64 Maint. & Operation of Physical Plant
  - 66 General Administration
  - 68 Student Services
  - 72 Institutional Support
  - 76 Auxiliary Enterprises
  - 78 Financial Aid
  - 80 Unallocated
  - 97 Plant Construction
FIS Chart of Accounts - Elements

- **Account Codes – Convention**
  - 00XXXX Expenditure Accounts
  - B0X000 Budget Pool Accounts
  - PXXXXX Payroll Accounts
  - RXXXXX Revenue Accounts
  - UXXXXX User-Defined Account

- **Activity Codes**
  - User-Defined Accounts.
FIS Chart of Accounts - Elements

- **Budget Pool Accounts**
  - B00000 Academic Salaries
  - B01000 Staff Salaries
  - B02000 General Assistance
  - B03000 Non-Capital Expenditure
  - B04000 Capital Expenditure
  - B06000 Retirement & Employee Benefits
  - B08000 Unallocated
  - B09000 Recharge Revenue
FIS Chart of Accounts

ORGANIZATIONAL HIERARCHY

- Defines “who” is authorized to spend the $$$
  - Level 2 = Vice Chancellor
  - Level 3 = Division
  - Level 4 = Unit
  - Level 5 = Unit Function or Data Enterable
  - Level 6 = Data Enterable
FIS Chart of Accounts

ORGANIZATIONAL HIERARCHY

- Level 2 = 11 Academic Units
  - Level 3 = 114 Social Sciences
    - Level 4 = 1792 Soc Sci Administration
      - Data Enterable = 403000 SOCSCI/Admin/Dean
      - Data Enterable = 405002 SOCSCI/Admin/Business Services
    - Level 4 = 1987 Psychology
      - Level 5 = 50297 SOCSCI/Psychology/Dept Ops
        - Data Enterable = 403060 SOCSCI/PS/Admin
        - Data Enterable = 403068 SOCSCI/PS/Temp Staff
      - Level 5 = 50298  SOCSCI/Psychology/Start-up
        - Data Enterable = 405058 SOCSCI/PS/Start-up/Crosby
        - Data Enterable = 405077 SOCSCI/PS/Start-up/Fox Tree
      - Level 5 = 50299 SOCSCI/Psychology/Research
        - Data Enterable = 445294 SOCSCI/PS/Rsch/Crosby
        - Data Enterable = 445295 SOCSCI/PS/Rsch/Fox Tree
XTOF Edit Restrictions

- General Rule: If the system won’t allow it, route the TOF to the appropriate office for review and processing.
  - Form: [http://planning.ucsc.edu/budget/toolkit/tof/tofform.xls](http://planning.ucsc.edu/budget/toolkit/tof/tofform.xls)

- Adjustments to Revenue – Planning & Budget
- Adjustments to Plant Funds - Plant Accounting
- Adjustments to Contract & Grant Funds - Extramural Funds
Restrictions not edited by FIS

- Primary Budgetary Program Control Points
  - General Funds are allocated at the Program Code level based on approved budgets. Per UC policy, this funding must remain in the program code to which it has been allocated to ensure that these funds are spent for the purposes for which they were allocated.
Restrictions, cont.

- In 199XX Funds
  - No transfers from Academic Salaries pool budget account B00000 to any pool account other than B08000 (Unallocated)
  - No transfers between program codes, except for the following:
    - 40 Instruction ↔ 43 Academic Support
    - 66 General Admin ↔ 72 Institutional Support
    - 80 Unalloc. Prov. ↔ Any Program Code
  - Between research program codes 44-59.
Restrictions, cont.

- Tuition Outlay fund 20095 is primarily for support of Student Services (including related facility and student aid). It may not be used for research (44) or public service (62).
- Restricted TOF’s must be routed to Planning & Budget for review, either by paper form or electronically.
  - Form: [http://planning.ucsc.edu/budget/toolkit/tof/tofform.xls](http://planning.ucsc.edu/budget/toolkit/tof/tofform.xls)
## Paper TOF Form

**JOURNAL TYPE:** XTOF  
**TRANSFER OF FUNDS - SANTA CRUZ CAMPUS**  
**FOR LOCAL USE ONLY**

<table>
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<tr>
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<th>PROJ</th>
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</tbody>
</table>

**APPROVAL**  
**Authorized Signature**  
20,000.00  
20,000.00  
P&O APPROVAL

**EXPLANATION**  
To Professor Green for Fall 2015 Research Seminar per VC Jones 08/30/15 email.

---

**Retention:** Planning and Budget: 10 Years  
**Other Units:** 1-5 Years
Electronic Routing

Click 'In Process'. Email Document Number to Planning & Budget for review and completion.
Unallowable Transfers

- Student Academic Preparation Program fund 19924 must stay in program code 62 (Public Service).
- Lottery funds (18082-18087 and 20590-20593) must remain in program 40 and/or 43.
- Auxiliary Enterprise funds (70000-74999) must remain in program 76.
- Out of Student Financial Aid program 78, regardless of fund source.
Transfers of Funds
Transfer of Funds (TOF) Processing

- Transfer of Funds Journals aretemporary budget adjustments which affect the current year budget in FIS only.
- TOFs use the Banner Screen FZAJVCD.
- + Increases budget for expenditure account codes.
- - Decreases budget for expenditure account codes.
FZAJVCD

- FIS Banner input screen for all journal vouchers except encumbrance liquidations.
- REMEMBER – One Rule Code per Journal
- Document Number
  - automatically assigned
- Activity Date
  - defaults to current date
  - May enter prior period date if that period is still open.
  - period remains open 7 working days after last day of month.
FZAJVCD continued

● Document Total
  - Equals the absolute value of the journal
    ● total of all Debits and all Credits irrespective of sign (+/-).

● Document Text
  - Required - Document cannot be completed without it
  - Specific requirements are listed on Quick Reference Cheat Sheet.
FZAJVCD continued

- Budget Adjustments must balance by Fund.
- DocReference
  - Five character, unit assigned code comprised of the two character unit alpha code plus 3 alpha numeric characters (ie Accounting - AC005)
Unapproved Journal Vouchers

- Banner screen FZIJVCD
- Lists unapproved Journal Vouchers
  - 1) If you exit a Journal and forget to write down the doc #
  - 2) If you want to see if you have any outstanding journals that need to be approved.
- Query on Amount, Date, or User Id
TOF Exercises
## Operating Budget Report View

**DIV/ADMIN & CURRICULUM**

**GENERAL STATE APPROPRIATIONS**

### Academic Salaries

<table>
<thead>
<tr>
<th>Account</th>
<th>Account Title</th>
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### Staff Salaries

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### Non-Capital Expenditure

#### Budget

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<td>35,000.00</td>
<td></td>
</tr>
</tbody>
</table>

### Staff Salaries

<table>
<thead>
<tr>
<th>Account</th>
<th>Account Title</th>
<th>Date</th>
<th>Description</th>
<th>Doc Code</th>
<th>Ref 1</th>
<th>Ref 2</th>
<th>Budget</th>
<th>Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>B08000</td>
<td>UNALLOCATED BUDGET</td>
<td>10/05/15</td>
<td>Special Project Funding fr UCOP</td>
<td>J0441250</td>
<td></td>
<td></td>
<td>98,500.00</td>
<td></td>
</tr>
</tbody>
</table>

### Carryforward from Prior Year

<table>
<thead>
<tr>
<th>Account</th>
<th>Account Title</th>
<th>Date</th>
<th>Description</th>
<th>Doc Code</th>
<th>Ref 1</th>
<th>Ref 2</th>
<th>Budget</th>
<th>Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>B08600</td>
<td>CARRYFORWARD FROM PRIOR</td>
<td>07/01/15</td>
<td>BUDGET CARRY FORWARD</td>
<td>BD120015</td>
<td></td>
<td></td>
<td>55,000.00</td>
<td></td>
</tr>
</tbody>
</table>

- **No Activity Code**

### Activity Total

<table>
<thead>
<tr>
<th>Account</th>
<th>Budget</th>
<th>Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>968,500.00</td>
<td>968,500.00</td>
</tr>
</tbody>
</table>
Printing Journal Vouchers

- Banner form **FZRPTJV**
- Journal information in an organized report format.
- Enter Printer ID
  - Can be set up as a default through FIS
- Enter Journal Document Number
- Ctrl+Page Down to the bottom of the form and Save (F10) to execute print command.
Office of Record

- Retains paper records of the transaction
  - FIVE YEARS after the end of the Fiscal Year in which it was produced for Non-Governmental and Non-Contact & Grant Funds
    - EX: Transaction Date – 01/31/05, Destroy Date – 06/30/10
  - Government and Contract & Grant funds – please check retention schedules from the Extramural Funds Office
  - Paper transfers to P&B require document reference code beginning with the Unit Alpha Code. (http://planning.ucsc.edu/budget/Toolkit/coa/UNIT_ALPHA_CODES.pdf)
Tracing Transactions
Tracing TOFs and TOEs

- TOFs and TOEs are Journal Vouchers
  - Document numbers start with “J”.
  - Rule class and description appear on FGITRND.
- Navigate to **FZIDOCR** (Query Document [by Type])
  - Shows the entries and document text on completed and approved JVs.
Budget Status - Organization

- Navigate to **FGIBDST**
  - Operating Ledger balances of the data-enterable FOAPAL
  - Current balance or balance at end of any closed fiscal period
  - Portal to Transaction Detail
FIS Operating Ledger

- **Budget Ledger (Adj Budget)**
  - contains projections of revenues and expenses for the entire fiscal year

- **Financial Ledger (YTD Activity)**
  - contains actual year-to-date revenues and expenses.

- **Encumbrance Ledger (Commitments)**
  - contains Reqs, POs, other liens

*The same FOAPALs are used in each ledger.*
### How Totals are Calculated

\[
\text{Adjusted} - \ YTD - \text{Budget} = \text{Available}
\]

**Budget** - **Activity** - **Commitments** = **Balance**

<table>
<thead>
<tr>
<th>Acct</th>
<th>Type</th>
<th>Title</th>
<th>Adj Budget</th>
<th>YTD Activity</th>
<th>Commitments</th>
<th>Avail Bal</th>
</tr>
</thead>
<tbody>
<tr>
<td>007020</td>
<td>E</td>
<td>Equipm</td>
<td>0.00</td>
<td>2,489.75</td>
<td>0.00</td>
<td>-2,489.75</td>
</tr>
<tr>
<td>B00000</td>
<td>L</td>
<td>Academ</td>
<td>200,000.00</td>
<td>0.00</td>
<td>0.00</td>
<td>200,000.00</td>
</tr>
<tr>
<td>B01000</td>
<td>L</td>
<td>Staff Sa</td>
<td>254,856.00</td>
<td>0.00</td>
<td>0.00</td>
<td>254,856.00</td>
</tr>
<tr>
<td>B02000</td>
<td>L</td>
<td>General</td>
<td>2,000.00</td>
<td>0.00</td>
<td>0.00</td>
<td>2,000.00</td>
</tr>
<tr>
<td>B03000</td>
<td>E</td>
<td>Non-Ca</td>
<td>82,093.36</td>
<td>0.00</td>
<td>0.00</td>
<td>82,093.36</td>
</tr>
<tr>
<td>B06000</td>
<td>L</td>
<td>Retire &amp;</td>
<td>4,762.59</td>
<td>0.00</td>
<td>0.00</td>
<td>4,762.59</td>
</tr>
<tr>
<td><strong>Net Total:</strong></td>
<td></td>
<td></td>
<td>544,211.95</td>
<td>34,405.29</td>
<td>1,426.44</td>
<td>508,380.22</td>
</tr>
</tbody>
</table>
FGIBDST Examples

**Query 1**
- Org 680400
- Fund 19900
- FY 96

**Net Totals**
- Adj Budget:
- YTD Activity:
- Commitments:
- Available Balance:

**Query 2**
- Org 680400
- Fund 19900
- FY 96

(checkbox specific account box)

**Net Totals**
- Adj Budget:
- YTD Activity:
- Commitments:
- Available Balance:
Transaction Detail

- From FGIBDST drill *down* to **FGITRND**
  - From Budget column
    - *Budgeted* revenues & expenditures
  - From YTD column
    - *Actual* revenues & expenditures
  - From the Budget Commitment column
    - *Posted* requisitions, purchase orders, liens

- May query on selected Fiscal Period
FGITRND Examples

Query 1
FGIBDST
Org 680400
Acct B03000

What is the balance in Acct B03000?

With cursor in the Account column drill down to FGITRND by mouse-clicking on Transaction Detail Information or using the F3 key.

Enter query by mouse-clicking on Query Document or using the F7 key. Enter XTOF in the Type field. Press F8 to execute query.

Navigate to FGIDOCR by mouse-clicking Query Document or pressing F3. Press CTRL PgDn to populate.

Navigate to Document Text.
# FGITRND - Fields

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
<td>Date Document was entered</td>
</tr>
<tr>
<td>Type</td>
<td>Rule Class</td>
</tr>
<tr>
<td>Document</td>
<td>Document Number</td>
</tr>
<tr>
<td>Description</td>
<td>Vendor/Requestor/Description</td>
</tr>
<tr>
<td>Field</td>
<td>Ledger where posted</td>
</tr>
<tr>
<td>D/C</td>
<td>Sign indicator</td>
</tr>
<tr>
<td>Total</td>
<td>Total of transactions listed</td>
</tr>
<tr>
<td>Code</td>
<td>Description</td>
</tr>
<tr>
<td>-------</td>
<td>--------------------------------------------------</td>
</tr>
<tr>
<td>WD01</td>
<td>July 1 Budget</td>
</tr>
<tr>
<td>JO20</td>
<td>Budget Carry Forward</td>
</tr>
<tr>
<td>WPRB</td>
<td>Payroll Interface Budget Benefits</td>
</tr>
<tr>
<td>WPRC</td>
<td>Payroll Interface Costing – Budget</td>
</tr>
<tr>
<td>WPRF</td>
<td>Payroll Expense</td>
</tr>
<tr>
<td>XBCG</td>
<td>C&amp;G Permanent Budget</td>
</tr>
<tr>
<td>WTLI</td>
<td>Interlocation TOF Interface</td>
</tr>
<tr>
<td>XB13</td>
<td>Budget Office/Accounting adj.</td>
</tr>
<tr>
<td>BD04</td>
<td>Budget Office/Accounting adj.</td>
</tr>
<tr>
<td>XTOF</td>
<td>Transfer of Funds – Dept (Temp)</td>
</tr>
<tr>
<td>XTOE</td>
<td>General Transfer of Expense</td>
</tr>
<tr>
<td>WPRO</td>
<td>Pro Card Interface JV’s</td>
</tr>
</tbody>
</table>
Field Codes

**OBD**  Permanent Budgetary Entries
**ABD**  Budgetary Adjustment Entries
**YTD**  Financial Entries
**RSV**  Budget Reservation Entries
**ENC**  Encumbrance Entries
QUESTIONS
Resources

- Data Management
  - [http://planning.ucsc.edu/datamgmt](http://planning.ucsc.edu/datamgmt)

- FIS On-line Manual
  - [https://financial.ucsc.edu/Pages/FIS_User_Manual.aspx](https://financial.ucsc.edu/Pages/FIS_User_Manual.aspx)

- Budget Website
  - See *Tools & Resources*
    - [http://planning.ucsc.edu/budget/](http://planning.ucsc.edu/budget/)
PROFICIENCY EXERCISE