The format of the Excel file is similar to the format for the FY 2013 Allocation, i.e. both input and reference tabs are provided.

The Excel files will be distributed in Microsoft Excel 2007 version (.xlsx). Windows users with Microsoft Office version 2003 must install the Office compatibility pack from www.microsoft.com. This is a free download and allows version 2003 to use files saved in 2007 format. Macintosh users should be on Microsoft Office for Mac version 2008 or later to ensure compatibility with these files. Users may wish to upgrade their version of Microsoft Office and can purchase an upgrade to Microsoft Office from the IT Help Desk. If you have any issues, please call the IT Help Desk at 4-4357.

Please review these General Budget Guidelines and the Technical Guidelines prior to completing your Excel file. Send your completed files via email to budget_cycle_returns@etal.uri.edu on or before Friday, May 3, 2013.

Training sessions will be offered to help you become familiar with the Excel file format. Please see http://www.uri.edu/budget/resources.html for the FY 2014 Allocation budget Training schedule. You may contact Caroline Natale at 4-2509 to reserve a seat. You may bring your file on a flash-drive to allow for specific questions at the training session.

- Please do not substitute, alter, delete, or omit any of the provided forms. You may however include additional schedules, etc. you consider necessary. Do not alter any formulas in the file.

- The Technical Guidelines explain the contents of each tab and how to complete the Excel file.

- The Excel file contains a DFR tab with pertinent, tentative FY 2014 Allocation rates, etc. for use in completing the FY 2014 Allocation return. All other rates have been updated based on the latest information. All rates are subject to change.

- Enrollment is reflected as of the FY 2013 Mid-Year Review. FY 2014 Allocation enrollment will not be known until mid-May. If there are any significant changes, we will be in contact with you.

- Auxiliaries/Enterprises providing support for Fund 100 as budgeted during the FY 2014 Request should budget the same amount of support during the FY 2014 Allocation (see DFR 'All Other Operating Sup/Exp - 5455 line for the amount). Fund 100 allocation decisions are expected to be finalized on May 13, 2013. If these decisions impact your budget for FY 2014, you will be contacted and the changes may need to be reflected prior to the budget submission to the Board of Education.

- Provide the best revenue estimate for the FY 2014 Allocation. The FY 2014 Allocation Student Fees must reflect the latest rates approved by the Board of Governors and end in an even number. Call your analyst with any questions or concerns.

- Area specific worksheets required from certain units have been sent separately from Bob Thibeault.

- Classified employee union contracts expired on June 30, 2012. The State Budget Office’s FY 2014 Budget Request 'Planning Values' displayed the COLA at 0.00% for this group and is included as such. Salaries for Non-classified union and non-union staff reflect the increase as of 7/1/11. No further increases are planned for this group.
  - The contract salary amounts from the PeopleSoft HR system reflected on the Personnel Tab are full contract salaries as of 4/2/13. (See below for reduced work schedule employees.)

- The Graduate Student agreement expires on August 31, 2014 and rates are included accordingly.
  - Only budget Grad Research Assistants (5253) Auxiliary, Enterprise and Shepards funds.
  - The SBA rate for Grads includes the new student insurance rate from a new provider set at $1,636.
• Please be sure to budget step increases on an individual basis. Call your budget analyst for instructions if you wish to budget globally for this item. (Note you may only utilize one method.)

• Only budget the number of pay periods for which the person will be paid. Do not budget turnover expectancy.

• NEW for FY2014: In order to account for the payroll accrual for the one-day that the Controller will book, you must budget 26.1 pay periods for 26-pay-period employees in column BA. In general, you must budget an additional 0.1 for any employee that is on the payroll on June 30, or the last week in the fiscal year. There is no accrual necessary for FY 2013, so this is not required in your FY2013 files. You do not have to budget the additional 0.1 for academic year employees (or any employee not paid in pay-period 26).

• For employees on a reduced work schedule, the current salary is reflected at the reduced rate. If an employee is returning to full time, increase the base salary to reflect the 1.0 FTE.

  • Personnel and position information is downloaded directly from the PeopleSoft HR system. The data is as of 4/2/13. If you find any incorrect information relating to a position or employee, please indicate the issue in the Notes column or contact Steve Thompson at sthompson@uri.edu, or call ext. 4-2509. If data is incorrect, contact your analyst for assistance in reflecting the data appropriately in order to budget the correct amount for this employee.

  • In some cases, (i.e. where an employee has "Leave to Protect Status", etc.) more than one person will be found in the SAME position number. In these instances, budget only for the person actually getting paid in FY 2014. If you have any questions on this, please call Steve Thompson at 4-2509.

  • You may find Payroll Microfiche data for state employees is available to you in PeopleSoft HR at: Set Up HRMS > Product Related > Commitment Accounting > URI Commit Accounting Reports > "URI State Pay DST BGT Data CSV". Security access is required to view the report and access has been set up for all people who have requested the report to date. If you need access contact Steve Thompson at sthompson@uri.edu or call ext. 4-2509.

• Ensure all Internal Payroll employees that are committed beyond 7/1/13 are budgeted. In PeopleSoft HR, go to Set Up HRMS / Product Related / Commitment Accounting / URI Commit Accounting Reports and run the URI “Int Empl for Allocation” report. This report is designed to show you Internal Payroll employees employed after 7/1/13.

• Please ensure all paperwork, e.g. USP-1, USP-2, etc., is processed for items included with your return.

  • Tentative fringe rates are provided on the Personnel Tab and will populate once the appropriate data is completed. This template will automatically calculate 5294 costs for current employees.

  • Please note that the ERS rate reflects the Retirement Security Act of 2011 which includes the Defined Contribution Plan for State employees. This Act is currently being challenged and as such, the ERS rate could be subject to change.

  • If your return reflects a new position or portion of a position on your Auxiliary/Enterprise fund, you must process a USP1 by May 3, 2013. (i.e., changing a 100% Fund 100 position to 50% Fund 100 and 50% Auxiliary/Enterprise Fund). The USP1 should reflect the following: create a new position with funding distribution of 50-50 between Fund 100 and the Auxiliary/Enterprise fund and abolish the 100% Fund 100 position. Please process a USP1 and a USP2 if the position is currently filled. Forms must be signed by all departments involved (i.e. fund 100 department & Auxiliary/Enterprise department.)
• New permanent FTE’s had to be requested with a BR-10 at the time of the 2014 Request. If you requested any new FTE’s that your division head has decided to keep in the FY2014 Allocation please process a USP1 to create the new position by May 3, 2013. If a USP1 is not received, the position will be removed from the Table of Organization. You may reallocate existing FTE’s at this time if needed.

• Any chartfield strings not listed due to lack of activity should be added as necessary. See the Technical Guidelines for further instruction on how to add additional chartfield strings, not currently reflected, to the file.

• Account codes 4001 (Interfund Activity In) and 5001 (Interfund Activity Out) have been reflected in the files for these funds. The Controller has been working with units to address balances in invalid chartfields, etc. These are the codes in which the cash adjustments are typically made. Please do not budget in these codes as the data is only provided for informational purposes relative to adjustments to actuals and/or balances.

• On the Line Item tab, in the "CFS Desc" column, you may find an "Invalid - No Signature Auth". Please review these lines and if you have not already done so, address these immediately with Cindy Mace so that these entries may be corrected before year-end. Do not make any budget entries for these invalid entries as this has been provided for your information only.
  o If the CFS is indeed valid, forward a Signature Authorization form and a CFS create form to the Budget & Financial Planning Office immediately. Include in the CFS create documentation that you have budgeted for this string in the FY 2014 Allocation file.

• You may find actual data that appears to belong to another unit. This data may be a result of a mis-posting to an incorrect chart field string. As such, please work with the alternate unit and the Controller’s Office to make corrections as appropriate.

• Planning your annual budget expenses, including multi-year encumbrances, by the appropriate account code during the Allocation process reduces the number of budget transfers required during the year.
  o On PeopleSoft, confirm FY 2014 encumbrances already posted to the system are budgeted in your return in the appropriate account codes. If encumbrances are to be liquidated, please forward PDF copies of the documentation supporting the liquidation (i.e. a memo to Accounting,) with your budget return.
  o YTD data is as of 3/25/13.

• It is important for budgets to reflect anticipated expenses that correlate to a specific chartfield (i.e. the stipend/waiver of a Grad Research Assistant working in an academic department be budgeted and charged to that academic department). The expense should be reflected in the department that is receiving the services or item.

• A list of account codes is available at the Budget and Financial Planning website under Department Resources Link - Account Code Descriptions. Please note there are certain codes that are not to be used for budgeting. See the "Restrictions" column for further details. [http://www.uri.edu/budget/resources.html](http://www.uri.edu/budget/resources.html)

• In general, revenue should equal expenses unless you are using fund balance for one-time-only expenses or attempting to build your fund balance reserve for future anticipated capital needs.

• Unrestricted Net Assets (formerly Fund Balance) should not be budgeted unless you plan to use a portion for one-time-only expenses (i.e. fund balance may not be used to fund debt service). Please provide details in the Notes column on the Line Item tab in the Excel file.
  o In FY 2009, Auxiliaries and Enterprises were requested to maintain Unrestricted Net Assets (UNA) (formerly Fund Balance) at no less than 25% of the latest UNA ending balance as reported on the University's Audited Financial Statements. Please contact the Controller’s Office for your current UNA balance.
- Auxiliaries only – a process is being developed for the Roger Williams Wellness Center funding. We will advise you as soon as we have the information. Budget adjustments may need to be made post-Allocation.

- Provide requested data/information on the Summary Paragraph template word document and any additional information for inclusion in the President's transmittal letter to OHE.

- Please obtain division-head approval of your FY 2014 Allocation file prior to submittal.

- Return your completed Excel file and summary paragraph via email to budget_cycle_returns@etal.uri.edu by or before Friday, May 3, 2013.

If you have new staff and/or staff that have left, please take this opportunity to update the Signature Authorization and Responsible Persons on your chartfield strings. Please go to http://www.uri.edu/budget/forms.html to find the appropriate forms and instructions.

If you have any questions regarding these guidelines or the Allocation in general, please contact Cheryl Hinkson at car@uri.edu or 4-2509. For any technical questions about how to fill in the file, please refer to the Technical Guidelines first, then contact Eugen Trandafir at eugen@uri.edu. Thank you once again for your continued cooperation.

4/15/13