Below please find the guidelines for the FY2017 Allocation for Funds 100, 102, 104

- The FY17 Allocation files are in the customary format.
- The Excel files are distributed as Microsoft Excel (.xlsx) files designed for Office 2007 or later. Apple Mac 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 Ram Computer.
- It is expected that the Allocation return reflects all committed personnel, operating, capital and student aid costs for the 12 months of FY 2017. You are responsible to verify and ensure that these items are fully funded in the correct chartfield strings and account codes.
- If you require technical assistance with completing the file, please contact your budget analyst.

It is important to review these General Budget Guidelines prior to completing your Excel file. If needed, you may refer to FY2016 Allocation Technical Guidelines found on Budget & Financial Planning Website under Resources. Send your completed files via email to budget_cycle_returns@etal.uri.edu by Wednesday, July 27, 2016 or sooner if possible.

A. Relating to the Excel File
   1. Please do not substitute, alter, delete, or omit any of the provided forms. You may however include additional schedules, etc. you consider necessary. The Technical Guidelines explain the contents of each tab and how to complete the Excel file.

   2. Once you complete the FY 2017 Allocation Fund 100 file, please fill out the Final Review tab. **Files will not be accepted unless this is completed.**

   3. The FY 2017 Allocation is built upon the FY 2016 Mid-Year Review budget which is as of 1/28/16. Personnel data is as of 5/13/16 and YTD Financial data is as of 5/9/16.

   4. **IMPORTANT: it is crucial to budget for the fiscal year as accurately as possible so that the budget reflects your plan for the fiscal year and minimize budget transfers.**

   5. The FY 2017 Allocation reflects your allocation as approved by Senior Management.
      - The overall bottom line returned MUST be equal to the FY 2017 Allocation provided unless your unit is budgeting fringe for a new, non-reinvestment position that was not budgeted previously. Fringe Benefits must be identified in your budget in order to be transferred into the central fringe budget.

      - The Trail tab lists in detail the adjustments, reversals, etc. that have occurred and/or are being applied to your unit's total fund 100 budget since the FY 2016 Allocation to arrive at your unit's bottom line for the FY 2017 Allocation as approved by Senior Management.
        - Reversals and adjustments are reflected in their original chartfield string and account code. Because units may have reallocated these budgets to other chartfield strings and/or account codes during the fiscal year, this may have resulted in a negative budget
in the FY 2017 Allocation column. Please reallocate accordingly so only positive budgets are submitted in your return.

- The Trail also reflects an estimated fringe benefit amount associated with your unit. This allows you to see the estimated total Fund 100 resources dedicated to your college/area.

B. Compiling the Budget
Personnel-Biweekly Payroll

- All vacant positions that may be filled during FY2017 or in a future year must be budgeted in accordance with the process below so that we will be able to reserve the appropriate fringe.
  - The position MUST be budgeted in full on the Personnel tab.
  - If you intend on using a portion of the vacancy dollars for one-time-only (OTO) expenses because the position will be filled less than 26 pay-periods, you must budget the number of pay-periods released in account 5229 on the Personnel Tab.
  - Then, on the Line Item tab on the 5229 line of the same chartfield string, you must input in the green column AG a negative amount (must = the amount budgeted in 5229 on the Personnel Tab).
  - Continue to then add that same amount in total to the desired account(s) in which the release-time dollars are to be spent. Please note on each line that release-time from position XXXXXX is being budgeted on that line.
  - If you don’t know where the released amount will be spent, you may keep it in account 5229 and transfer it out later.

- Example - Vacant position valued at $30,000 estimated to be filled for 13 pay-periods
  - Budget $15,000 in account 5228 (see items 6 and 7 below to determine account) in chartfield string 100-1234-0000 on the Personnel tab for 13 pay-periods
  - Budget $15,000 in 5229-100-1234-0000 on the Personnel Tab for 13 pay periods
  - On the Line Item tab, in column AG on line 5229-100-1234-0000 input ($15,000)
  - On the Line Item tab, in column AG add 5342-100-1234-0000 +$5,000; add to Notes: OTO computer equip funded from released $ from position xxxxxx.
  - On the Line Item tab, in column AG add 5472-100-1234-0000 +$10,000; add to Notes: OTO travel funded from released $ from position xxxxxx (Total released salary used for OTO = $15,000)

If you do not yet have plans for the vacancy dollars, you may leave the entire salary in account 5226 or 5228 (see items 6 & 7 below do determine account) and facilitate a transfer after the FY2017 Allocation is uploaded to PeopleSoft.

There are valid instances where a position listed on your Personnel tab should not be budgeted. If you have a vacancy that you do not need to budget, you must note the reason why the position should not be budgeted (e.g. filling temporary lecturer until Faculty line #XXXXXX is filled; position no longer charged to this chartfield – see cfs xxx-xxxx-xxxx, etc.)

6. Account 5226 – Reinvestment: This account code was established to track Reinvestment dollars. These are funds that have been designated for a specific purpose by Senior Management (e.g. new faculty, etc.) and should be placed into account 5226 until the dollars are ready to be transferred (i.e. once a reinvestment vacancy is filled, you would move the $ to the appropriate account code - 5210, 5250, etc.)

7. Account 5228 – Non-Reinvestment – this includes all new non-reinvestment vacancies (e.g. recently vacated positions not yet filled). All non-reinvestment vacancy dollars must be moved to this code
once a position is vacated throughout the fiscal year. Once a position is filled, you may move the
budget to 5210/5250. This method will allow to track vacancy dollars as you either move them into
5210/5250 for new hires or as you use dollars for OTO items. See item 8 below for additional
guidelines about how to budget vacancies.

8. Personnel and position information is downloaded directly from the PeopleSoft HR system and is as of
5/13/16. If you find any incorrect information relating to a position or employee, please contact Diana
MacDonald at dianam@uri.edu or, call ext. 4-2509. You are responsible to ensure that all positions that
will be charged to your unit in FY2017 are budgeted. If a position you must cover is not listed, add it to
the Personnel Tab. Follow up with Diana MacDonald to discuss methods to make changes to the
position if necessary.

➢ Payroll Microfiche data for state employees is available in PeopleSoft HR. To access the report
navigate to:  Main Menu > URI Budget > 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 please contact Steve Thompson at
sthompson@uri.edu or, call ext 4-2509.

➢ In general, all position FTE’s on the HR system should reflect the salary distribution of the position.
See below for budgeting release-time.

➢ For employees on a reduced work schedule, the current salary is already reflected at the reduced
rate. DO NOT further reduce the salary. If an employee is returning to full time, increase the base
salary to reflect the 1.0 FTE.

➢ No FY 2017 salary increases are reflected in the budget for classified, faculty, non-classified staff, or
Grads. Transfers will be made after July 1 if required for faculty, non-classified, and grads.

➢ All budgeted vacancies (including funds for new positions included on the Trail tab) MUST be
budgeted in account code 5226, 5228, or 5229 (amount related to released salary only). See 6&7
regarding how to choose the account in which to budget vacancies.
  o Important: as non-faculty vacancies occur during the fiscal year, you MUST move the
remaining budgeted position dollars into account code 5228. Once a position is filled, you
may move the budget to 5210/5250 as needed.
  o Faculty retirements/vacancies must be budgeted in account 5226 throughout the fiscal year
until filled.
  o If academic area faculty retirements have occurred recently, and the dollars associated with
these lines are not yet transferred to the Provost for reinvestment, you will be required to
budget and IDENTIFY these funds in 5226. These funds will be transferred to the Office of the
Provost. Please note this on your return in the Notes column.
  o All newly funded positions (found on the Trail tab) MUST be budgeted on the Personnel Tab. If
you do not see a line, you must add one for the new position. New dollars from the
Provost/VP/SBPC for these positions are considered "Reinvestment" Vacancy dollars (see new
"reinvestment" column on this tab). Please indicate when a vacancy is "Reinvestment" by
budgeting it in 5226. Please see the technical instructions for additional information. If
necessary, ensure paperwork is processed to create the position if it is new.
  o Known release time must be budgeted in 5229.
  o At allocation, NO non-Fund 100 FTE’s can be budgeted on Fund 100. See the “FTE Info” section
on the Personnel Tab, columns X-AG. Only column X reflects Fund 100 positions.
9. When positions are filled after the beginning of the fiscal or academic year, the Dean's/Director's authorization of the RF-1 form indicates that the unit is fiscally responsible for fully funding the annual filled position plus fringe in the next fiscal year from within their existing budget.

10. If turnover dollars were transferred to operating prior to FY 2016 Mid-Year, and a position is filled in FY 2017 for 26 pay periods, the unit is responsible for reallocating the funds back to the personnel line to fully fund the position.

11. Please ensure all necessary paperwork, forms, etc. for approved new items are included with your return. This includes any new chartfield strings that are listed on your return.

12. You must fund all filled and committed position lines as well as any other personnel, operating, capital, or student aid lines for which commitments are made. This includes any FY 2017 encumbrances. IMPORTANT: it is crucial to budget for the fiscal year as accurately as possible so that the budget reflects your plan for the fiscal year. This will also reduce the number of budget transfers which is essential due to reduced staffing.

Personnel – In-house Payroll

13. Complete the Grad tab with the number of Grad Assistant (GA) FTE’s and Grad Research Assistant (GRA) FTE’s. Academic Affairs units may only budget the allotted number of GA’s as assigned by the Provost. See the Technical Guidelines for further information.

14. Select academic units that have GTAAPP Grads (5254) will find a special tab in which to fill out the information for these grads. Fill in the appropriate grad FTE and the percentage of stipend/tuition waiver paid by the unit. The info will feed to the “Line Item” tab automatically. Copy/insert as many rows as needed.

15. Ensure all Internal Payroll employees committed beyond 7/1/16 are budgeted. To find a listing of these employees, log on to PeopleSoft HR and run the following report: URI Budget > URI Commit Accounting Reports > URI Int Empl for Allocation.

Operating

16. In PeopleSoft Financials under Commitment Control>Review Budget Activities>Budgets Overview, confirm FY 2017 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 with your budget return.

17. Planning your annual budget expenses by the appropriate account code/org code during the Allocation process reduces the number of budget transfers required during the year, and avoids automatic feeds from being halted.

18. NEW: FOR ACCOUNTS IN OPER1, YOU MUST BUDGET AT LEAST WHAT YOU SPENT IN FY2015. NO EXCEPTIONS. These feeds are continually requiring transfers which delay the system posting.

Dedicated/Course Fee Budgets

19. The course fee budgets (program 2000) should match the totals sent to the Business Managers on February 26th. Business Managers can access the following query in PeopleSoft HR to obtain the course fee detail by subject: U_SSF_KELLY_LAB_DETAIL.

➢ In accordance with the revised Course Fee Procedure, adjustments for FY2017 will be made after the add period for spring 2017 semester. If you know that a course fee is being reduced or removed, do not spend that budget as it will be reduced at that time.
Per the CAC Chair, in addition to purchasing consumable supplies, the course fee can be used to support graduate and undergraduate students who support course fee offerings. Any questions related to the course fee base should be directed to the Provost's Office.

Reminder: as discussed at last year’s Provost’s Business Managers meeting, all purchases related to the labs must be charged to the subject chartfield string, not to CCE or to Summer Session.

20. A new program, 2231 has been established for those units working to transition to covering fringe. As of now this includes: Nursing, Physical Therapy, Music, and partial Engineering.

21. Revenue/Fee dollars and designated budgets may not be moved in or out of the designated chartfield including but not limited to the following: Course Fee, Technology Fee, Communications fee, Commencement (document fee), Postal Revenue, Central Stores Revenue, Fitness & Wellness, Personnel Advertising, and Candidates Travel.

Dedicated fees will also be adjusted in the Spring. The FY2017 Allocation budget reflects Spring 2016 adjustments.

Other

22. Start-up funds should not be budgeted in your returns. Transfers will be processed after the FY 2017 Allocation is on the University's PeopleSoft Financial System.

23. The returned budget should reflect your plan for the fiscal year. This requires planning your annual budget expenses, including multi-year encumbrances, by the appropriate account code during the Allocation process. This also reduces the number of budget transfers required during the year. Please plan and budget accordingly during the Allocation process. Please do not request budget transfers if there is sufficient budget at the ORG level.

24. You may find actual data that appears to belong to another unit. This may be a result of an entry to incorrect chart field string. As such, please work with the alternate unit and the Controller’s Office to make corrections as appropriate before year-end. Please note this in the Notes column in your return.

25. It is important to charge the appropriate chartfield in the department that is receiving the services or item. Do not move the budget to another College/Division to share expenses (e.g. if you are splitting a major purchase with another College or Unit or Fund, the share of expenses should be charged to each entity.) The only exceptions are Provost and Research & Economic Development transfers. Failure to abide by this may result in lowering the unit’s base budget in the next fiscal year.

26. New Federal Government Department of Labor Overtime Rule: Please be aware and budget accordingly Guidance on the new rule can be found at the following links:

https://www.dol.gov/whd/overtime/final2016/faq.htm#3

If you have additional questions, please contact Anne Marie Coleman, Assistant Vice President for Human Resources.

27. A list of account codes is available at the Budget and Financial Planning website under Department Resources Link - Account Code Descriptions.

http://web.uri.edu/budget/resources

28. Fill out the Final Review tab. Fund 100 returns will not be accepted without this tab filled out.

29. Return your completed Excel file and any supporting documents via email to
budget_cycle_returns@etal.uri.edu by **Wednesday July 27, 2016 or sooner if possible.**

30. Incorrect Allocation files (i.e. files that are not balanced or incomplete) will be returned to the department once for corrections. Incorrect files that require more than one return will be handled by Budget & Financial Planning after discussions with the appropriate Dean/Director/VP.

31. If you have any budgetary questions while filing out your return, you may call your analyst before you turn it in. Given the timing of this Allocation, it is very important that your return is complete.

Please take this opportunity to update the Signature Authorization and Responsible Persons on all chartfield strings to account for new hires and terminations. Go to [http://web.uri.edu/budget/forms/](http://web.uri.edu/budget/forms/) to find the appropriate forms and instructions.

**Academic Affairs Units Only**

- Consistent with the FY2016 Academic Affairs process, one-time-only allocations related to the curriculum delivery to the freshman class will be processed by the Provost’s Office shortly after the start of the fall semester when student need for seats have been determined and seats have been added. This includes Grads funded by Provost for curriculum delivery.
- RF1’s will be completed by Diana MacDonald in BFPO for all faculty and staff positions authorized by the Provost to be filled in FY17 and FY18. (See the recent Allocation memo from the Provost.) You will be copied when the form leaves BFPO.
- Colleges that received a budget transfer in FY2016 relating to RN to BS will see these one-time-only (OTO) FY2016 transfers reversed back to Nursing. Nursing will send FY2017 transfers once course information has been finalized.

*Only OTO transfers up to Mid-Year are reflected on the Trail.*

**Fund 102, Fund 104, and Fund 100 with Fringe Units Only**

- These units must budget for the full cost of fringe benefits for all eligible employees.
- Payroll Accrual: 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 each employee in column BB. 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.
- The Rates Tab includes estimated salary increases for both Classified and Non-Classified positions, 2% and 3% respectively.
- Fringe will be calculated automatically once you fill out the appropriate information on the Personnel Tab.

If you have any questions regarding these guidelines or the Allocation in general, please contact the analyst for your area.

Thank you for your continued cooperation.