**Budget Calendar**

- **URI operates on a fiscal year July 1 – June 30**

<table>
<thead>
<tr>
<th>Calendar Event</th>
<th>Date Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>June 2017 - Colleges/Areas receive their FY2018 Budget</td>
<td></td>
</tr>
<tr>
<td>July 2017- Current Year FY2018 Budget on System</td>
<td></td>
</tr>
<tr>
<td>September 2017- Budgt for FY2019 submitted to Council</td>
<td></td>
</tr>
<tr>
<td>October 2017 Board of Education submits FY2019 budget to Governor</td>
<td></td>
</tr>
<tr>
<td>December 2017 - Budget for FY2018 Updated (Mid-Year Review)</td>
<td></td>
</tr>
<tr>
<td>January 2018 - Governor submits budget to Legislature</td>
<td></td>
</tr>
<tr>
<td>Spring 2018 - Budget Hearings - Legislature</td>
<td></td>
</tr>
<tr>
<td>April 2018 - College Budget Hearings</td>
<td></td>
</tr>
<tr>
<td>June 2018 - Colleges/Areas receive FY2019 Budget</td>
<td></td>
</tr>
<tr>
<td>June 2018 - Final FY2019 budget approved by Governor/Legislature</td>
<td></td>
</tr>
<tr>
<td>July 2018 - FY2019 Budget on System</td>
<td></td>
</tr>
</tbody>
</table>
THE UNIVERSITY’S BUDGET

Unrestricted

- Tuition & Fees
- State Appropriation
- General Obligation Debt Service

Restricted

- Federal Student Grants & Loans
- Auxiliaries/Enterprises
- Sponsored Research
- RI Capital Fund (RICAP)
Fund 100, 103, 104: Unrestricted Revenue (i.e. Tuition and Fees, State Appropriation)
Fund 100, 103, 104: Unrestricted Expense - Allocations to departments (i.e. Textiles, Economics, Electrical Engineering). Source: Unrestricted Revenue
Fund 103 is Legislative “Grants”
Fund 104 is Jason and Coastal Resiliency
Fund 100, 101, 103, 104, 105 included in unrestricted budget
Fund Definitions

Fund 102
- State Crime Lab - Separate State Appropriation

Fund 125
- Shepard’s Facilities (50% Support)
- Remaining 50% from State
FUND DEFINITIONS

Fund 101,105—Revenue and Expense. Self-supporting accounts such as Summer Orientation, Theatre Productions, & Printing Services; service centers are Fund 105

Fund 110—Indirect Cost (Overhead):
Revenue and Expense; Overhead recovery allocated to Sponsored Projects Administration, Colleges/Depts/Prov&VPRED for Startups/Matches/President
Fund 210-331 Auxiliary & Expense

**Auxiliary Units:** Health Services, Memorial Union, Bookstore, Residential Life and Dining Services

**Enterprise Units:** W. Alton Jones, Parking Services, Ryan Center/Boss Ice Arena

Fund 500—Sponsored Research: Federal and State Grants awarded to the University. This may include special federal allocations such as Stimulus Funding
Fund 400—Private Funds: Private funds with a restricted intent indicated by an outside entity. These are included in the University’s budget (i.e., NCAA $ for Academic Advisor for Athletics)

Plant Funds: General fixed asset accounts, general long-term debt accounts, and bond funds.

Fund 401: URI Foundation; separate 501c3; not included in University budget
Fund 900—Agency Funds: Funds held by URI as custodian for sponsor or University related organization. Money is deposited with the URI for safekeeping to be used or withdrawn by the depositor at will.

Budget Transfers: Only permitted within each fund.
CHARTFIELD STRING

Fund 100

Dept XXXX 4 digit dept identifier

Program XXXX Is 0000 unless it is a program within a dept

Program Examples:
1000 Faculty Development
2000 Expenses related to Lab Fees
1100- Start Up Funds
ACCOUNT CODES

Identifies the type of revenue or expense

Examples:

5323 Office expenses/supplies
5276 Summer Recontracting
5442 Computer Supplies

# Budget Transfers

**UNIVERSITY OF RHODE ISLAND**

**BUDGET TRANSFER FORM (Whole numbers only)**

Questions? Contact John Stone or Mike Iavarone

Submit form via email to budget.transfers@etal.uri.edu

<table>
<thead>
<tr>
<th>FROM **</th>
<th>TO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Account</td>
<td>Fund</td>
</tr>
<tr>
<td>Account</td>
<td>Fund</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>TOTAL</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

Reason for transfer:

Add Chartfield String to the PeopleSoft HR Account Code Table: If Yes, please complete section below and send a copy of this transfer to: dianam@uri.edu

<table>
<thead>
<tr>
<th>Fund (CANNOT BE 500)</th>
<th>Dept</th>
<th>Program</th>
<th>Project</th>
<th>Description</th>
<th>Speedtype</th>
<th>Start Date*</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Note: A department cannot hire or charge any personnel on the Inhouse payroll to this account code prior to its start date.

Authorized Signature**: Date:

** An authorized signature is required for each department referenced as a transfer “from”.

6.1.17

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**THE UNIVERSITY OF RHODE ISLAND**

**DEPT CHAIRS ORIENTATION & PROFESSIONAL DEVELOPMENT**

**JUNE 7, 2017; UPDATED NOV 16, 2017**
**Budget Transfers**

**Required (Fund 100 Only): Please Check Appropriate Ref/Type (Must Check One)**

<table>
<thead>
<tr>
<th>REF</th>
<th>TYPE</th>
<th>Budget Office Use Only</th>
</tr>
</thead>
<tbody>
<tr>
<td>BPerm</td>
<td>Permanent transfer of funds which will be reflected next fiscal year.</td>
<td>Org_dtl Journal ID #:</td>
</tr>
<tr>
<td>BOTO</td>
<td>Transfer of One-Time-Only funds to be reversed for next fiscal year.</td>
<td>Date:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Transfer Verified</td>
</tr>
</tbody>
</table>

Note: If both Perm and OTO are not indicated, transfer will be marked Perm.

**If Applicable: Please Check Appropriate Ref/Type**

<table>
<thead>
<tr>
<th>REF</th>
<th>TYPE</th>
</tr>
</thead>
<tbody>
<tr>
<td>BFBT</td>
<td>Fund Balance Transfer (Fund 101, 110, &amp; 400 Only)</td>
</tr>
<tr>
<td>BMAT</td>
<td>Match Account Transfer</td>
</tr>
</tbody>
</table>
University of Rhode Island – New ChartField Request Form
for New Departments and Programs
(Note - one form for each unique ChartField combination)
(For new grants contact Office of Sponsored Projects. For new funds contact the Office of Budget & Financial Planning)

Requesting Department: ___________________________ Tel: ___________________________

New ChartField Name: ___________________________

Request for new: Department ☐ Program ☐ Project ☐ (For Bond Funds and Capital Projects only)

Start Date: ___________________________ End Date (if applicable): ___________________________
(please attach memo justifying need for a new for the new chartfield string and any other pertinent backup information)

Description/Purpose of Chart Field: ___________________________

Responsible Person*: ___________________________ Title: ___________________________ Dept: ___________________________
*(Must match responsible person on signature authorization form)

This form must be accompanied by a Signature Authorization Form and a Budget by Account
Please email all forms to lisa_fiorio@uri.edu
# Creating a New Chartfield

**Source of Funding Request** (Check one box within this area):

- Unrestricted (100)
- Dean’s Overhead (110)
- Auxiliary/Enterprise Fund (name of aux/enterprise): ____________ fund #: ____________
- Private Gift
- Other (If externally restricted, please indicate name of funding source): ______________

If restricted please indicate: □ Yes □ No

**Annual Revenue Projection $** ____________ **Annual Expenditure Projection $** ____________

**Type of Expenditures:** Personnel □ Operating □ Capital □ Scholarships □

**Signatures:**

1. Responsible Person’s Signature: __________________________ Date: ______________

2. Vice President/Dean or Director’s Signature: __________________________ Date: ______________

3. Vice President’s Signature (not req’d for academic affairs): __________________________ Date: ______________

4. Budget Office Signature: __________________________ Date: ______________

**Note:** A deficit in the self supporting ChartField/Program will be charged to the College Dean’s overhead account if an alternate source(s) of funding is not available.
Signature Authorization Form

Required for establishing new Chartfield Strings. Updates to existing CFS Signature Authorization should be processed online using the Signature Authorization Update Form in e-Campus Financials.

Personal whose name & signature appear on this form are authorized to approve processing, for items indicated on this Chartfield String only, by checking off the appropriate Document Code check boxes. If any designated signatories signature is missing then information will be excluded from entry and can be added by Department using online Signature Authorization update form.

Responsible Person    Employee ID #    Title:    Signature:

Contact Phone Number:    Contact Email:    

Designated Signatories

Name:    Employee ID #    Title:    Signature:

* = Delegate required on all Chartfield Strings - serves as back up for Signature Authorization Update Form approval

Level 1: Designated Signatories for the checked off Document Codes; If Document Codes 1, 2, 3 or 4 are checked off it also means that the Signatory will serve as an approver.

Final Review (Level 2): ChartField Strings can be assigned an optional Final Review approver(s) which adds another level of approval authority for electronic work flow routing. If Final Review is selected a backup signatory must be selected to cover when the primary Final Review approver is absent i.e. sick/vacation etc.

Document Codes:
1. Requisitions (L.V., CR., IV., SC) 4. Expense Report - ER
2. Invoice Voucher/Payment Order 5. Receiving Report

URI Foundation (Fund 401 only)

Approved by:_________Date:_________

Budget & Financial Planning Office or
Office of Sponsored Projects (any CFS w/ Project #)

Entered by:_________Date:_________

[Signature Authorization Form]

THE UNIVERSITY OF RHODE ISLAND

BUDGET PROCESS OVERVIEW
DEPT CHAIRS ORIENTATION & PROFESSIONAL DEVELOPMENT
JUNE 7, 2017; UPDATED NOV 16, 2017
SIGNATURE AUTHORIZATION UPDATES

- To add or remove individuals from having signature authorization, it may be done electronically:
  - Sign into financial system and follow the path below
    - Main Menu > URI Menu > Signature Authorization > Sign Auth Update Form
The University Budget and Planning Council shall provide a new, transparent and inclusive process for the planning, budgeting and assessment of university strategic directions, investments, and facilities. The Council shall be advisory to the President. It will ensure that the University's strategic plan and mission guide resource allocations and investments.
To obtain security access to:

Financial System:


Human Resource System:

Managing Dept Resources

- Identify all sources designated for the dept and the purpose of each funding source and possible restrictions (e.g. Foundation funds for an endowed chair)
  - Some CFS’s may have balances from prior year
  - Meet with the previous chair
  - Meet with your College Business Manager
  - Meet with your Dean/Associate Dean
  - Contact the Budget & Financial Planning Office
STRATEGIC INVESTMENT & BUDGET PROCESS
ACADEMIC AFFAIRS

• March – All day meeting with Deans

  Deans highlight
  ➢ Unit’s mission
  ➢ Relationship between unit’s plan and overall University priorities
  ➢ Summary of unit investment strategies and areas of reduction if necessary

• Ensure transparency across unit. Provide informational basis to encourage cross unit collaboration in education, research, outreach and administrative functions.

• Faculty Senate Leadership Participates
COLLEGE BUDGET HEARINGS

• STRATEGICALLY PLAN AND MANAGE ACADEMIC AFFAIRS
• April – Individual meetings with Deans
  ➢ Narrative with strategic priorities for the new year
  Review and discussion including:
  ➢ Student data  TT Faculty
  ➢ Lecturers       Per Course Lecturers
  ➢ Budgets and Actuals  Lowest funded item(s)
  ➢ Balances in non-fund 100 accounts
INDIVIDUAL COLLEGE BUDGET HEARINGS

- Maximization of teaching/learning & co-curricular activities and research/scholarship activities
- Significant and very high level of focus on highest strategic priorities in colleges/units
- Continue efforts to relate vision, strategic planning and budget processes in Academic affairs to the University’s strategic priorities and budget
- Follow basic budget process and budget principles used for four years
Academic Affairs: Principles for a Strategic and Sustainable Budget Process

The principles displayed in the next seven slides apply to the management, allocation, and investment of general revenue funds including funds derived from State Appropriation and tuition and fees. These principles apply to budget increments and decrements. While there may be occasional justifiable exceptions relative to the management, allocation, and investment of non-general fund revenues, these principles should also apply to all university and unit budgeting and fund allocations.
1. For a budgeting process to be strategic institutional strategic priorities must influence resource allocation and resource allocations must represent investments in priorities and essential programs. As such, the budget becomes a visible manifestation of academic priorities and strategic plan.
2. For budgets to be sustainable revenue potential and costs over time must coincide and mechanisms are needed to insure budget stability, despite annual increases in costs associated with salaries and benefits of personnel. Centralized budget recovery mechanisms need to be established to adjust budgets and create potential for reallocation. Capturing funds associated with vacated positions is one such mechanism and is preferable to annual budget recovery (usually 1, 3, or 5% recovery) approaches.
3. Funds and lines associated with vacated positions (retirements and departures) will be recaptured centrally and strategically allocated, in most cases, at entry level salary. Lines vacated because of denied tenure decisions will remain in the college/unit, but should be used to fill priority needs in concert with the strategic plan of the college.

4. Investments in new initiatives within units should include non-central resources from the units or internal reallocations. Central co-investment reflects mutual support of programs.
5. Resource allocations, including new and replacement positions and both increments and decrements, will be guided by unit performance, which will consider unit productivity, cost-effectiveness, and innovation as well as strategic priority and the specific role of the position. Across-the-board budget alterations will usually be avoided. Indicator metrics for these variables will be defined and unit targets may need to be established because different units may have different productivity measures.
6. The budget process needs to be relatively simple (i.e., based on a few understandable metrics), consistent, and transparent and should ensure an open mechanism of communication between the responsible unit (e.g., colleges), budget managers, and departments and faculty within units.
7. An effective budget process encourages innovation and efficiency, and aligns incentives for behavior in support of strategic priorities, productivity, and cost effectiveness.

8. A formalized budget process, including annual submission of a budget document and a budget hearing, will ensure that budget needs and requests from all units reflect unit priorities broadly, are considered at the same time, and reflect a multi-year budget planning horizon within units.
9. Once allocations are made, units are expected to operate within the framework and constraints of their annual budget, unless emergency situations (e.g., midyear state appropriations reductions, sudden dramatic enrollment shifts, etc.) occur during the year.

10. If possible within financial constraints, the Provost should maintain a contingency fund to be used for budget protection and/or for short-term strategic investment.