R⋆STARS Training Manual
Chapter #3 – Appropriation and Budget

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Overview

R⋆STARS has powerful and flexible budget capabilities. The system meets the budget reporting requirements for state government. It provides the legislature with meaningful budget information and gives managers of state agencies information to help them manage their agencies efficiently.

- R⋆STARS provides very high level budgeting information that could be used by the legislature and provides budgets at a more detailed level for management purposes.

- The system allows different degrees of budget control.

- Controls can be set for programs, organization, funds, objects, grants, and projects.

- Budgets may be allotted to time periods, such as months or quarters, to assist in program management.

- Expenditures, encumbrances, and pre-encumbrances can be monitored against budgets at all levels.

- Revenues can also be budgeted for the *budget to actual* statement for the Annual Comprehensive Financial Report (ACFR).

Budget Types

- In R⋆STARS there are four budget types. These budget types give the system the power and flexibility to accommodate the varying needs of state government. They include:

- Appropriation
- Agency Budget
- Grant or Project Budget
- Financial Plan

Appropriations

The Appropriation structure represents the highest level of budgeting capabilities in R⋆STARS and satisfies the reporting needs of the Legislature.

- Appropriations (or Limitations) are the legal spending authority set by the State Legislature for each agency.

- R⋆STARS does not make a distinction between a limitation and an appropriation, they are both considered appropriations.

- Each line item on an approved appropriation bill is assigned an Appropriation Number. This Appropriation Number is entered into R⋆STARS on the **20 Appropriation Number Profile**.

Appropriations can be rolled up to **D15 Appropriation Group Profile** groups and Appropriation Types (**D53 Title Profile**, TABLE ID *APTY*).

- ▫ Appropriation Groups are defined by The Department of Administrative Services, Budget and Management Division (BAM) and are used for reporting purposes.

- ▫ Oregon is not currently using Appropriation Types.

▪ Statewide Financial Management Services (SFMS) has established controls in R⋆STARS on **D22 Appropriated Fund**, **D02 Agency** and **D04 Program Code** profiles. These controls impact how transactions post, online inquiries, and reports.

   Oregon standard is to post appropriations at the Appropriated Fund, Agency and Program Level 02 levels.

▪ Agencies enter appropriation amounts through batches. BAM approves and releases the batches.

▪ The Appropriation Number can be "looked up" by a Program Cost Account (PCA) or an Index when transactions are being processed.

APPROPRIATIONS AND THE CLASSIFICATION STRUCTURE

Several portions of the R⋆STARS Classification Structure relate together to provide appropriation tracking. These aspects are pictured below:
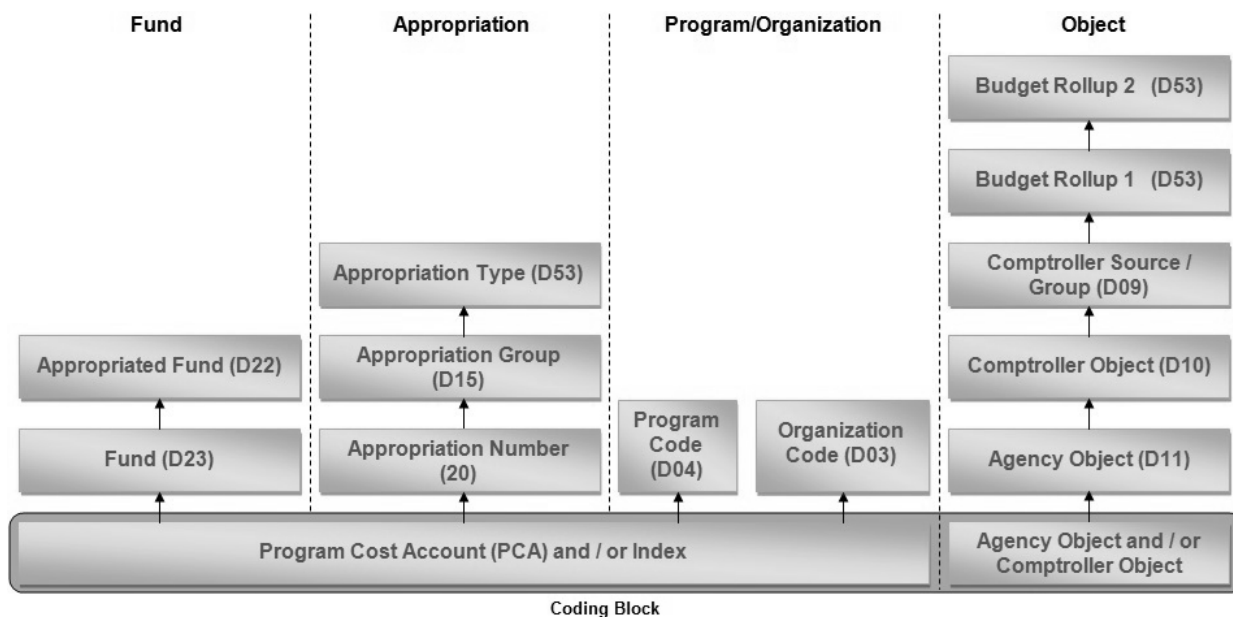
We will now look at some of this structure in more detail.

20 Appropriation Number Profile

The **20** profile contains the Appropriated Fund, Control Type Indicators, and Appropriation Level Indicators.

```
 S020   UC: 10                     STATE OF OREGON              08/20/13 09:09 AM
 LINK TO:                     APPROPRIATION NUMBER PROFILE                   PROD


 AGY: 101 APPN YEAR: 15  APPN NO: 80500 GENERAL FUND APPROPRIATION


 APPROP - TYPE: 9    GROUP: 01    LEG SESS: 77  SESS CALL #: 0 ACT BL #: 000757
 BL LN #: 0001 RIDER #: 0000 PROG CODE:     COMP SRC/GRP:      REL APPN: 80500

 I/E (I=INCLUDE, E=EXCLUDE)
 ENTER ONE FUND WITH UP TO 10 COMP OBJS SEPARATED WITH EITHER "-" OR ",".
 APPD FUND I 8000 ,
   REV OBJ E 0000 - 2999 ,
   EXP OBJ I 3000 - 8999 ,


 APPN INDS- UB: 1   CTL TYP- CASH: 1 ACCR: 1 ENC: 2   BUDG TYPE: A REV EXC COL: N
 DEP INT IND: N    APPN LEVEL-      ORGANIZATION: 0      PROG: 2         OBJ: 0
 ALLOT INDS-   SEL: Q CTL TYP: 1    QTR: N PERC: 00  PROG/OBJ BUD OBJ LEV IND: 0
 AGY BDG INDS-      CTL TYPE: 0       OBJ LVL: 1   ALLOT SEL: N   ALLOT CTL:
                                                        STATUS CODE: A
  EFF START DATE: 07012013   EFF END DATE: 12312015   LAST PROC DATE: 04082013
 Z07 NEXT RECORD SUCCESSFULLY READ

 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

BAM maintains this profile with input from agencies.

The numbering convention for appropriations includes:

- 3#### Other Funds and Non-budgeted Other Funds
- 6#### Federal Funds and Non-budgeted Federal Funds
- 7#### General Fund Revenue
- 8#### General Funds
- 88### General Fund Revenue
- 99999 Non-Budget Appropriation

Appropriation Level Posting Indicators

Appropriation Level Indicators control the level at which a transaction posts to the Organization, Program and Object structures. This, in turn, controls the information available through the appropriation online inquiries. These values include:

Level of Organization

Valid Values (defined on the **D03 Organization Code Profile**):

> **0** – No Organization Posting
> **1** – Agency Level Posting
> **2-9** – Organization Posting

Oregon has standardized this indicator to be *0*. This means appropriations will not be tracked through the Organization Structure.

Level of Program

Valid Values (defined on the **D04** profile):

> **0** – No Organization Posting
> **1-9** – Program Posting

Oregon has standardized this indicator to be *2*. This means appropriations will be tracked at Program Level 02 for all agencies.

Level of Object

Valid Values:

> **0** – No Object Posting
> **1** – Comptroller Source Posting (**D09** Comptroller Source/Group)
> **2** – Comptroller Object Posting (**D10** Comptroller Object)
> **3** – Object Posting (**D01** Object)
> **4** – Agency Object Group Posting (**D25** Agency Object Group)
> **5** – Agency Object Postings (**D11** Agency Object)

Agencies may choose which object level they will use.

Control Type Indicators

The Control Type Indicators determine the severity of the system messages / edits when a transaction exceeds the appropriation. Because R⋆STARS has the ability to track amounts on a cash or accrued basis, there is an indicator for cash, accrual, and encumbrance.

Valid Values:

> **0** – No Edits (system ignores the appropriation implications of a transaction)
> **1** – Fatal Error (system prevents transaction when it exceeds appropriation)
> **2** – Warning Error (provides a warning when a transaction exceeds appropriation)

Oregon controls on an accrued basis.

D23 Fund Profile

The **D23** profile:

▪ Is the lowest level in the fund hierarchy.

▪ Includes Fund Level Control Indicators. These indicators establish the fund level at which appropriations post.

▪ Creates the relationship of the agency's fund to the appropriated fund.

```
SD23   UC: 10                    STATE OF OREGON              08/20/13 09:11 AM
LINK TO:                         FUND PROFILE                             PROD



               AGENCY: 101    FISCAL YEAR: 14     FUND: 2200
                TITLE: ADMINISTRATIVE RULES
    APPROPRIATED FUND: 3400    (MUST BE IN D22 APPROP FUND PROFILE)
           GAAP FUND: 1110    (MUST BE IN D24 GAAP FUND PROFILE)
    STATE FUND GROUP: 9999    DEFAULT OREGON
      LOCAL FUND IND: N      BANK ID:      CASH FUND: 16502
          FUND LEVELS DETERMINE THE LEVEL OF CONTROL FOR THE FOLLOWING
               0=NONE, 1=APPROPRIATED FUND, 2=FUND, 3=CASH FUND):
          APPROPRIATION: 1   AGENCY BUDGET: 2 CASH CONTROL: 3
CASH BALANCE DISP – IND: N    %/AMT: 00000000000   TREASURY FUND: 0401
          DESCRIPTION:
       CC ORG LEVEL IND: 1        (0=DO NOT POST AGENCY, 1=POST AGENCY)
  DEPOSIT INTEREST – IND: Y    AGENCY: 101        FUND:
       GAAP FUND GROUP: 01        (SYSTEM GENERATED)
        GAAP FUND TYPE: 02        (SYSTEM GENERATED)    STATUS CODE: A
 EFF START DATE: 07012013   EFF END DATE:           LAST PROC DATE: 04082013
Z06 RECORD SUCCESSFULLY RECALLED

 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

Fund Level Indicator

For appropriations, Oregon has standardized the Appropriation Fund Level Indicator.

▪ Suspense Accounts will have an indicator of *0* (no posting).
▪ All other funds will have an indicator of *1*, which means transactions will post at the appropriated fund level.

With these indicator levels, the **62 Appropriation Financial Inquiry** will show summary level information, regardless of the setting on the DETAIL/SUMMARY field.

Program and Organization Structure

The PCA and Index can link the agency's program and organization structure to appropriations respectively. This relationship is constructed on the **26 Program Cost Account** and **24 Index Code** profiles. In entering transactions, the PCA or index will infer the appropriation.

```
 S026   UC: 10                 STATE OF OREGON            08/20/13 09:20 AM
 LINK TO:               PROGRAM COST ACCOUNT PROFILE                    PROD


         AGENCY: 101    APPN YEAR: 15    PCA: 48000

      PCA TYPE: D            TITLE: PURCHASING

  PROGRAM CODE: 4505    PCA GROUP:            AGY BUD PRG LEVEL IND: 2
 FUNCTION CODE:                              AGY BUD FUNC LEVEL IND:
   NACUBO FUND:              NACUBO SUBFUND:
     APPN NUMB: 30001                  FUND: 2400         INDEX: 41900


   GRANT NO/PH:            PROJECT NO/PH:              RTI:
       MPCODE:               AGENCY CODE - 1:     2:      3: 00401

 GRANT REQ IND: N         PROJECT REQ IND: N
                                             STATUS CODE: A
 EFF START DATE: 07012013    EFF END DATE:       LAST PROC DATE: 04082013
 Z07 NEXT RECORD SUCCESSFULLY READ


 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

```
 S024   UC: 10                 STATE OF OREGON            08/20/13 09:26 AM
 LINK TO:                   INDEX CODE PROFILE                          PROD



    AGENCY: 101       APPN YEAR: 15      INDEX: 23000

    TITLE: INFORMATION SYSTEMS-GF

 ORG CODE: 2300

 APPROP NUMB: 80100                FUND: 9901   AGCY BUD ORG LVL IND: 3
 GRANT NO/PH:             PROJECT NO/PH:            CONVERTED CC:
       PCA: 13021 MPCODE:          AGENCY CODE - 1:     2:      3: 10000




                                             STATUS CODE: A
  EFF START DATE: 07012013   EFF END DATE:       LAST PROC DATE: 04082013
 Z06 RECORD SUCCESSFULLY RECALLED

 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

ENTERING APPROPRIATIONS

As with other types of transactions, appropriations are entered into R★STARS in batches, with:

- A Batch Type of *1* on the **500 Batch Header Entry** screen
- The **503 Budgetary Transaction Entry** screen, Document Type *AP*

```
S500   UC: 03                    STATE OF OREGON                07/08/13 09:10 AM
LINK TO:                        BATCH HEADER ENTRY                           PROD

              BATCH AGENCY: 101              (SIGN ON AGENCY)
                BATCH DATE: 070813           (MMDDYY, DEFAULTS TO TODAYS DATE)
                BATCH TYPE: 1
              BATCH NUMBER: 111


              BATCH COUNT: 00002             BATCH AMOUNT: 01400000000.00


            BATCH EDIT MODE: 0               (0=NO EDIT/NO POST)
          PAYMENT DIST TYPE:                 (MUST BE IN D50 PDT PROFILE)
             DISB METH IND:                  (H, M, R, E OR SPACE)
            EFFECTIVE DATE: 070113           (MMDDYY, DEFAULTS TO TODAYS DATE)
                FAST ENTRY:                  (M/S/I/P/ )
                   USER ID: AGYUSER           DOE, JOHN
                USER CLASS: 03
        ACTION CODE AGENCY:
               ACTION CODE:




   F1-HELP    F9-INTERRUPT    F10/F11-SAVE    CLEAR-EXIT
```

```
S503   UC: 03                    STATE OF OREGON                07/08/13 09:29 AM
LINK TO:                    BUDGETARY TRANSACTION ENTRY                       PROD
BATCH: AGENCY 101 DATE 070813 TYPE 1 NO 111 SEQ NO 00001 MODE EDIT AND POST
    DOC DATE:                    EFF DATE: 070813
  CUR DOC/SFX: AP000004 001    REF DOC/SFX:                  AGENCY: 101
   TRANS CODE: 012
        INDEX:
          PCA: 45000                                               AY: 15
COMP/AGY OBJ:
       AMOUNT: 01400000000.00  RVS:              FUND OVRD:
   DOC COUNT: 00002          DOC AMT:  0000000000.00 DOC AGY: 101
DESCRIPTION: 2015 APPROPRIATION




      APPN NO: 31501                FUND: 4232          GL ACCT/AGY: 101
   GRANT NO/PH:               SUB GRANTEE:              PROJ NO/PH:
   MPCD:                 AGY CD-1:      2:       3: 00401       RTI:



F1-HELP F3-RTI F4-EDIT F5-NEXT RTI TRANS F6-BALANCING F7-DETAILS F9-INTERRUPT
  F10-SAVE  F11-SAVE/CLEAR  F12-HEADERS    CLEAR-EXIT
```

Transaction Codes for Appropriations

The Transaction Codes used to enter and adjust appropriations include:

004 – Appropriation Transfers Out
005 – Appropriation Transfer In
007 – Appropriation Adjustments / Revisions
008 – E-Board Appropriation Adjustment/Revisions (Capital Projects)
010 – Establish Original Appropriation – Capital Projects
011 – Appropriated Capital Projects Adjustment
012 – Establish Original Appropriation
014 – Appropriation – Unschedule

These transactions post to the Appropriation Financial Table. They only impact the Budgetary Fund Balance and Appropriation/ Limitation Control general ledger accounts.

See the chapters on entering transactions for additional information.

REPORTS FOR APPROPRIATIONS

R⋆STARS offers a number of requestable appropriations reports. They include:

Report Number   Report Title

DAFR6150	Status of Appropriation and Expenditure (subtotaled by Appropriated Fund)
DAFR6500	Lapsing Appropriation Report
DAFR7290	Appropriation Detail by GAAP Function and Agency
DAFR7420	Emergency Board Appropriation Detail by GAAP Function and Agency
DAFR7470	Appropriation Activity Detail
DAFR7480	Appropriation Activity Summary
DAFR7490	Appropriation Trial Balance
DAFR7500	Appropriation Activity Analysis
DAFR7510	Appropriation Adjusted Budget Summary Report
DAFR7530	Appropriations Nearing Deficit – Cash Basis
DAFR7540	Appropriation Summary by Program
DAFR7550	Appropriation Summary
DAFR7580	Appropriations Nearing Deficit – Encumbrance Basis
DAFR7590	Appropriations and Expense by Agency, Appropriated Fund, and Object
DAFR7630	Remaining Appropriation Balance by Appropriated Fund and Agency
DAFR7680	Appropriations Subject to Lapse

See the R⋆STARS Report Guide for additional information.

APPROPRIATION INQUIRY

The **62** screen summarizes the financial activity for each appropriation by appropriation year. Because the Appropriation Level for Program on the **20** profile is set to level 02 for all state agencies, this screen provides a summary of the activity for a specific appropriation. Users may drill down to detailed transactions from this screen. See the chapters on online and financial inquiries for additional information.

```
 S062   UC: 10                   STATE OF OREGON                08/20/13 09:42 AM
 LINK TO:                 APPROPRIATION FINANCIAL INQUIRY                     PROD
 AGY: 101 APPN YEAR: 15 APPN #: 31501    DAS OPERATING BUDGET - LIMITED
 APPR FUND: 3400   FUND:        COMP SRCE/GRP:       OBJ/COMP OBJ:
 PRG CD: 0010  LVL: 02 DAS OPERATING BUDG ORG CD:        LVL:
  INQ TYPE: MC   INQ YEAR: 14   INQ MONTH: 02 DETAIL/SUMMARY: D
 CASH BASIS BUD:            257,466,703.86        ADJ BUD:        267,676,971.00
 ACCR BASIS BUD:            257,276,582.31  REM APPN ALLOT:        40,955,807.68
  ENC BASIS BUD:            256,113,717.68   ALLOT TO BUD % :  19.60
  EXP TO BUD % :   3.80                     UNSCHED TO BUD % :   0.00
 BT    TITLE                      AMOUNT     BT     TITLE                  AMOUNT
 01 ORIG BUDGT           262,595,304.00     30 UNITS ACCUM           132,178.83
 02 REVISIONS-             5,081,667.00
 12 CASH REVEN           16,328,490.51
 14 ACCRD REVE           28,915,857.25
 15 CASH EXPEN           10,210,267.14
 17 ACCRD EXPE              190,121.55
 18 ENCUM OUTS            1,162,864.63
 20 TRAN IN-CA            2,095,908.00
 21 TRAN OUT-C            1,956,250.32
 23 ALLOTMENT-           52,519,061.00


 F1-HELP    F2-DOC INQ    F5-NEXT    F9-INTERRUPT    ENTER-INQUIRE    CLEAR-EXIT
```

Agency Budgets

The budgeting needs of individual agencies are quite different from the budgeting needs of the state legislature. R★STARS has the capability of provide meaningful information to both. The Agency Budget is designed to address individual agency budget tracking needs. This feature:

- Allows the agency to establish an internal operating budget to record, control, and report with more detail than appropriations

- Gives agencies the capability to use allotments to control quarterly or monthly spending

- Is controlled by the agency and entered by agency budget managers

- Can be entered at levels *2* through *9* of the program structure

- Provides control indicators that determine the posting levels and editing for agency budgets

AGENCY BUDGETS AND THE CLASSIFICATION STRUCTURE

As with appropriations, several portions of the R★STARS Classification Structure work together to provide agencies with the budget tracking they need. These aspects include:

- **25** Agency Control
- **20** Appropriation Number
- **D23** Fund
- **D04** Program and/or **D03** Organization Structure

25 Agency Control Profile

On the **25** profile agencies indicate whether agency budgets will be controlled by organization or by program.

- If the AGY BUD BY ORG indicator is *Y*, an Index will be required on all transactions posting to the Agency Budget Financial Table.

- If the AGY BUD BY PRG indicator is *Y*, a PCA or appropriation number will be required on all transactions posting to the Agency Budget Financial Table.

```
 S025   UC: 10                  STATE OF OREGON             08/20/13 09:53 AM
 LINK TO:                   AGENCY CONTROL PROFILE                       PROD


      AGENCY: 101     FISCAL YEAR: 14
    COST          RUN IND: N     RUN TYPE: R       NO STEPS: 02   LAST STEP: 02
 ALLOCATION-  CA BY IDX: 2   CA BY PROJ: 1   CA BY GRANT: 1    CA POST:   Y
   CA RANGE FROM: 10  TO: 10     CA TYPES: C
 BILLING DEF-  IDX:          PCA:        EXP COMP/AGY OBJ:
    DEFAULT-  IDX:           PCA:        REV COMP/AGY OBJ:
     REPORTING INDS- WEEK: N  MONTH: N  QUARTER: N  YEAR: N
  DOCUMENT MATCH LEVEL INDICATORS - PRE ENC: 1 ENC: 1 NON-ENC: 2
  REDUCE AGENCY BUDGET INDICATORS - PRE-ENC: N ENC: Y (Y OR N)
     COMP OBJ REQD ON D11: Y
        FIXED ASSET - IND: N  THRESHOLDS - CAP:       INV:       CAPTURE:
        AGENCY OBJECT IND: B (R=REV, E=EXP, B=BOTH, N=NONE)
        LAST MONTH CLOSED: 00       AGY BUD BY ORG IND: Y    (Y OR N)
 AE LAST MONTH/YEAR PURGED:          AGY BUD BY PGM IND: Y    (Y OR N)
       REPORTING MONTH/YR: 02 14          LABOR RUN IND: N    (Y,N OR A)
   INTEREST CALC RUN/MONTH: N     COLLECTION TRANSFER RUN: N    (Y OR N)
    GRANT/PROJ BILLING RUN: N      SGL ORG LVL IND: 1    STATUS CODE: A
 EFF START DATE: 07012013   EFF END DATE:          LAST PROC DATE: 05112013
 Z06 RECORD SUCCESSFULLY RECALLED


 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

20 Appropriation Number Profile

Agencies request set up of the Agency Budget Structure on the **20** profile with the Agency Budget Indicators. These include Object Level, Allotment Selection and Allotment Control

```
 S020   UC: 10                    STATE OF OREGON              08/20/13 10:06 AM
 LINK TO:               APPROPRIATION NUMBER PROFILE                       PROD


 AGY: 101 APPN YEAR: 15  APPN NO: 70000 GENERAL FUND REVENUE


 APPROP -  TYPE: 9    GROUP: 01    LEG SESS: 77  SESS CALL #: 0 ACT BL #: 000000
 BL LN #: 0000 RIDER #: 0000 PROG CODE:      COMP SRC/GRP:      REL APPN: 70000


 I/E (I=INCLUDE, E=EXCLUDE)
 ENTER ONE FUND WITH UP TO 10 COMP OBJS SEPARATED WITH EITHER "-" OR ",".
 APPD FUND I 8800 ,
   REV OBJ I 0000 - 2999 ,
   EXP OBJ E 3000 - 8999 ,


 APPN INDS- UB: 1  CTL TYP- CASH: 1 ACCR: 1 ENC: 2   BUDG TYPE: A REV EXC COL: N
 DEP INT IND: N    APPN LEVEL-      ORGANIZATION: 0       PROG: 2         OBJ: 0
 ALLOT INDS-   SEL: Q CTL TYP: 1    QTR: N PERC: 00  PROG/OBJ BUD OBJ LEV IND: 0
 AGY BDG INDS-       CTL TYPE: 0       OBJ LVL: 2   ALLOT SEL: N   ALLOT CTL:
                                                     STATUS CODE: A
  EFF START DATE: 07012013   EFF END DATE: 12312015   LAST PROC DATE: 04082013
 Z07 NEXT RECORD SUCCESSFULLY READ

 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

Agency Budget Indicators

Control Type

This element determines the type of control the system will exercise over transactions that impact the agency budget. Valid values include:

0 – Ignore the transaction's impact on agency budget
1 – Fatal – The system will not process a transaction that exceeds budget
2 – Warning – The system provides a message when transaction exceeds budget

Object Level

This element determines the level of the Object Structure at which the agency budget will be controlled. This level governs the revenue and expenditure objects used on the **61 Agency Budget Financial Inquiry** screen. Valid values include:

0 – No Object Posting
1 – D09 Comptroller Source Group
2 – D10 Comptroller Object
3 – D01 Object
4 – D25 Agency Object Group
5 – D11 Agency Object

Allotment Selection Indicator

This element determines whether the agency budget will be monitored by period. Valid values include:

N – No Allotments
M – Monthly Allotments
Q – Quarterly Allotments

Allotment Control Indicator

This element determines the severity of the system edits for agency budget allotments. Valid values include:

Blank – No agency budget allotment edits
0 – Ignore
1 – Fatal – system will not process transactions that exceed allotment
2 – Warning – system will provide a message when transaction exceeds allotment

D23 Fund Profile

As with appropriations, the **D23** profile includes a Fund Control Level indicator for agency budget. Valid values include:

0 – None
1 – Appropriated Fund
2 – Fund

This element controls the fund level to which agency budget transactions will post. It also determines the fund level to be used on the **61** screen.

```
 SD23   UC: 10                  STATE OF OREGON              08/20/13 10:17 AM
 LINK TO:                       FUND PROFILE                             PROD



              AGENCY: 101    FISCAL YEAR: 14    FUND: 4110
               TITLE: OPERATING EXPENSES
    APPROPRIATED FUND: 3400    (MUST BE IN D22 APPROP FUND PROFILE)
          GAAP FUND: 4002    (MUST BE IN D24 GAAP FUND PROFILE)
    STATE FUND GROUP: 9999   DEFAULT OREGON
      LOCAL FUND IND: N     BANK ID:      CASH FUND: 10408
        FUND LEVELS DETERMINE THE LEVEL OF CONTROL FOR THE FOLLOWING
              (0=NONE, 1=APPROPRIATED FUND, 2=FUND, 3=CASH FUND):
        APPROPRIATION: 1   AGENCY BUDGET: 2 CASH CONTROL: 3
 CASH BALANCE DISP - IND: N   %/AMT: 00000000000   TREASURY FUND: 0408
            DESCRIPTION:
       CC ORG LEVEL IND: 1        (0=DO NOT POST AGENCY, 1=POST AGENCY)
  DEPOSIT INTEREST - IND: Y    AGENCY: 101      FUND:
        GAAP FUND GROUP: 02        (SYSTEM GENERATED)
         GAAP FUND TYPE: 05        (SYSTEM GENERATED)     STATUS CODE: A
 EFF START DATE: 07012013   EFF END DATE:          LAST PROC DATE: 04082013
 Z07 NEXT RECORD SUCCESSFULLY READ


 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

26 Program and/or 24 Organization Structure

Elements on the **26** and **24** profiles determine the level of the program or organization structure at which the agency budget will be posted on the agency budget financial table. This in turn impacts the program or organization level on the **61** screen. Valid values correspond to the program or organization level – with *0* indicating no program or organization level and *1* indicating agency level. Levels *2* through *9* refer to the level on the **D04** and **D03** profiles. Please see Chapter #1 of the R★STARS Report Guide for more information about how the set up of PCAs and the AGY BUD PRG LEVEL IND impact reports.

```
 S026   UC: 10                    STATE OF OREGON              08/20/13 10:26 AM
 LINK TO:                   PROGRAM COST ACCOUNT PROFILE                     PROD


          AGENCY: 101     APPN YEAR: 15    PCA: 20020

       PCA TYPE: D             TITLE: OPERATING OF (ALLOTMENTS ONLY)

  PROGRAM CODE: 0100     PCA GROUP:             AGY BUD PRG LEVEL IND: 2
 FUNCTION CODE:                          AGY BUD FUNC LEVEL IND:
   NACUBO FUND:              NACUBO SUBFUND:
     APPN NUMB: 30001                 FUND: 2000            INDEX: 12050

   GRANT NO/PH:            PROJECT NO/PH:                 RTI:
       MPCODE:               AGENCY CODE - 1:      2:       3:

 GRANT REQ IND: N         PROJECT REQ IND: N
                                               STATUS CODE: A
 EFF START DATE: 07012013    EFF END DATE:        LAST PROC DATE: 04292013
 Z07 NEXT RECORD SUCCESSFULLY READ


 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

```
 S024   UC: 10                    STATE OF OREGON              08/20/13 10:26 AM
 LINK TO:                     INDEX CODE PROFILE                          PROD


    AGENCY: 101      APPN YEAR: 15       INDEX: 12050


    TITLE: ACCOUNTING

  ORG CODE: 1205

 APPROP NUMB:                    FUND:      AGCY BUD ORG LVL IND: 2
 GRANT NO/PH:            PROJECT NO/PH:            CONVERTED CC:
       PCA:       MPCODE:          AGENCY CODE - 1:      2:       3:



                                               STATUS CODE: A
  EFF START DATE: 07012013    EFF END DATE:       LAST PROC DATE: 04082013
 Z06 RECORD SUCCESSFULLY RECALLED


 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT
```

ENTERING AGENCY BUDGETS

As with other financial transactions, agency budgets are entered in R★STARS in batches, with:

- A Batch Type of *1* on the **500** screen
- The **503** screen, document type *AB*

```
S500   UC: 03                  STATE OF OREGON              07/08/13 09:10 AM
LINK TO:                     BATCH HEADER ENTRY                         PROD


           BATCH AGENCY: 101               (SIGN ON AGENCY)
             BATCH DATE: 070813            (MMDDYY, DEFAULTS TO TODAYS DATE)
             BATCH TYPE: 1
           BATCH NUMBER: 111


            BATCH COUNT: 00002             BATCH AMOUNT: 01400000000.00

        BATCH EDIT MODE: 0                 (0=NO EDIT/NO POST)
      PAYMENT DIST TYPE:                   (MUST BE IN D50 PDT PROFILE)
          DISB METH IND:                   (H, M, R, E OR SPACE)
         EFFECTIVE DATE: 070113            (MMDDYY, DEFAULTS TO TODAYS DATE)
            FAST ENTRY:                    (M/S/I/P/ )
                USER ID: AGYUSER            DOE, JOHN
             USER CLASS: 03
     ACTION CODE AGENCY:
            ACTION CODE:




 F1-HELP    F9-INTERRUPT    F10/F11-SAVE    CLEAR-EXIT
```

```
S503   UC: 03                  STATE OF OREGON              07/08/13 09:30 AM
LINK TO:                BUDGETARY TRANSACTION ENTRY                     PROD
BATCH: AGENCY 101 DATE 070813 TYPE 1 NO 111 SEQ NO 00001 MODE EDIT
    DOC DATE: ___             EFF DATE: 070113
 CUR DOC/SFX: AB000004 001   REF DOC/SFX:                AGENCY: 101
  TRANS CODE: 020
       INDEX:
         PCA: 45000                                              AY: 15
COMP/AGY OBJ:
      AMOUNT: 01400000000.00  RVS:            FUND OVRD:
  DOC COUNT: 00002        DOC AMT:  0000000000.00 DOC AGY: 101
 DESCRIPTION: 2011 BUDGET ENTRY




     APPN NO: 31501            FUND: 4232        GL ACCT/AGY: 101
 GRANT NO/PH:            SUB GRANTEE:            PROJ NO/PH:
 MPCD:              AGY CD-1:     2:      3: 00401       RTI:




 F1-HELP F3-RTI F4-EDIT F5-NEXT RTI TRANS F6-BALANCING F7-DETAILS F9-INTERRUPT
 F10-SAVE  F11-SAVE/CLEAR  F12-HEADERS   CLEAR-EXIT
```

Transaction Codes for Budgets

The following transaction codes are used to enter and adjust agency budgets:

019 – Agency Budget Adjustment without Allotment
020 – Establish Agency Original Budget without Allotment
022 – Agency Budget Allotment (See Allotments later in this chapter)
023 – Agency Budget – Unschedule
024 – Establish / Adjust Agency Revenue Budget

These transaction codes post to the agency budget table. They impact only the following general ledger accounts:

- Agency budget offset
- Agency estimated expenditure budget
- Agency revenue budget

See the chapters on entering transactions for additional information.

REPORTS FOR AGENCY BUDGET

Report Number	Report Title
DAFR7360	Biennial Budget Allocation
DAFR7400	Agency Budget Activity Detail
DAFR7410	Agency Budget Activity Summary
DAFR7610	Agency Budget Monthly Allotment vs. Actual (Expenditures)
DAFR7620	Agency Budget Quarterly Allotment vs. Actual (Expenditures)
DAFR7640	Agency Budget Control by Organization, Fund and Program
DAFR7650	Agency Budget Control by Program, Fund and Organization
DAFR7670	Agency Budget Control by Fund, Organization and Program

See the R★STARS report guide for additional information.

AGENCY BUDGET INQUIRY

The **61 Agency Budget Financial Inquiry** summarizes the agency budget information by year and by organization or program code. The following profile indicators will impact this inquiry:

- Agency BUDGET BY ORG AND PGM indicators on the **25 Agency Control Profile**
- Agency Budget Program or Organization Level indicator on the **26** or **24** Profiles
- The Agency Budget Fund Level indicator on the **D23** profile
- The Agency Budget Object Level indicator on the **20** profile

This screen has drill down features. See the chapters on online inquiry and financial inquiry for additional information.

```
 S061   UC: 10                    STATE OF OREGON              08/20/13 11:33 AM
 LINK TO:               AGENCY BUDGET FINANCIAL INQUIRY                      PROD

      AGENCY: 101  AY: 15 ORG CDE:      PGM CDE: 1110 FUNC CDE:     PCA: 12110
    AP FUND:              FUND: 4180   GRANT/PH:           PROJECT/PH:
 COMP SRC/GRP:             OBJ/COBJ/AGY OBJ:          4302    AGY OBJ GROUP:
   ORG LEVEL:
   PGM LEVEL: 06 DO – ADMINISTRATION -L6
  FUNC LEVEL:
    INQ TYPE: MC      (MA, YA, MY, YY, MC, YC)   DETAIL/SUMMARY: D
    INQ YEAR: 10     INQ MONTH: 02          ADJ BUD:                     .00
 AGENCY BUD AVAILABLE:                    935.58-  AGENCY BUD % AVAIL:    .00
 EXPENDITURES TO BUD %:   0.00                     ALLOT TO BUD % :   0.00
 BT    TITLE                  AMOUNT     BT    TITLE                   AMOUNT
 15 CASH EXPEND               416.32
 17 ACCRD EXPEN               519.26




 F1-HELP   F2-DOC INQ   F5-NEXT   F9-INTERRUPT   ENTER-INQUIRE   CLEAR-EXIT
```

Grant and Project Budgets

Grant and project budgets are both optional features in R★STARS and are independent of appropriation or agency budgets. They include billable budgets as well as expendable budgets.

- These budgets are entered using transaction codes established specifically for this purpose.

- Once entered, grant and project budgets may be adjusted at any time by entering adjustment transactions in the system in the same manner as the original budgets.

- Grant and project budgets can be divided into allotments.

D47 GRANT NUMBER PROFILE

As with appropriations and agency budgets, agencies establish level and control indicators for grants and projects.

There are two Grant Level Indicators on the **D47** profile. These include the Grant Phase Budget Level Indicator and the Agency Budget Grant Level Indicator.

The Grant Phase Budget Level Indicator controls the transaction posting for the grant, cash control, and cash balance financial tables.

- If the indicator is *Y*, the grant budget control will be at the *phase* level.
- If the indicator is *N*, the grant budget control will be at the *grant* level.

The Agency Budget Grant Level Indicator identifies the level at which is the grant is budgeted. Valid values include:

0 – No Grant
1 – Grant
2 – Grant / Phase

```
SD47   UC: 10                     STATE OF OREGON              08/20/13 11:39 AM
LINK TO:                      GRANT NUMBER PROFILE                         PROD


      AGENCY: 101 (MUST BE IN D02 AGENCY PROFILE)
GRANT NUMBER: 001054  TITLE: FEMA DEC 06 WIND STORM DAMAGE
FISCAL YEAR END: 0930  DESC: DEC 06 WIND STORM DAMAGE
GRANT PH BUDGET LEVEL IND: Y (Y OR N – CONTROL BUDGETS AT PHASE LEVEL)
 AGY BUD GRANT LEVEL IND: 0 (0=NO GRANT, 1=GRANT, 2=GRANT/PHASE)
GRANTOR ID: 00000000000018 CATEGORY: 97.036 GRANT TYPE: 01
 ADDRESS 1: FEDERAL EMERGENCY MANAGEMENT ASSOCIATION
 ADDRESS 2: REGION X OFFICE
 ADDRESS 3: 130 228TH STREET SW
      CITY: BOTHELL                   STATE: WA ZIP CODE: 98021 9796
AWARD DATE: 08142013          AWARD CONTRACT NO: 000U0SDO00
STATE APPL ID:                    LOC REF NO:
MANAGER: JOHN DOE
APPLICATION STATUS:    DUE DATE:          FINAL DECISION DATE:
GRANTORS GRANT NO:
                                              STATUS CODE: A
 EFF START DATE: 08142013   EFF END DATE: 12312015   LAST PROC DATE: 08212013
Z07 NEXT RECORD SUCCESSFULLY READ


 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR  ENTER-INQ  CLEAR-EXIT
```

D42 PROJECT NUMBER PROFILE

The **D42** profile has budget level indicators similar to the **D47** profile on the previous page.

The Project Phase Budget Level Indicator controls the posting of the phase to the project financial table.

▪ If the indicator is *Y*, the project's budget will be controlled at the *phase* level.
▪ If the indicator is *N*, the project's budget will be controlled at the *project* level.

The Agency Budget Project Level Indicator controls the posting of the project and phase transactions to the agency budget financial table. Valid values include:

0 – Do Not Post Project
1 – Post Project
2 – Post Project And Phase

```
 SD42   UC: 10                 STATE OF OREGON               08/20/13 11:45 AM
 LINK TO:                   PROJECT NUMBER PROFILE                        PROD



            AGENCY: 101 (MUST BE IN D02 AGENCY PROFILE)

    PROJECT NUMBER: 400200
              TITLE: MILITARY LEAVE BACKUP
               DESC: BACKUP-POSITION DUE TO MILITARY LEAVE
          PROJ TYPE: 4 (MUST BE IN D06 PROJECT TYPE)


 PROJ PH BUDGET LEVEL IND: N (Y OR N – CONTROL BUDGETS AT PHASE LEVEL)
 AGY BUD PROJECT LEVEL IND: 1 (0=NO PROJECT, 1=PROJECT, 2=PROJECT/PHASE)
          PROJECT CATEGORY:            FISCAL YEAR END:
  PROJECT MANAGER:
          PHONE NO:
     REPORT DATES:


                                                  STATUS CODE: A
 EFF START DATE: 07012013    EFF END DATE: 12312015   LAST PROC DATE: 08122013
 Z07 NEXT RECORD SUCCESSFULLY READ


 F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR  ENTER-INQ  CLEAR-EXIT
```

ENTERING GRANT AND PROJECT BUDGETS

Grant and project budgets are established in R★STARS by entering batches:

- Batch type of *1*
- Document type of *OB*.

The transaction codes for entering and adjusting grant and project budgets include:

070 – Project Billable Budget
071 – Project Expendable Budget
073 – Project Billable Unit Budget (Statistics)
075 – Grant Billable Budget
076 – Grant Expendable Budget
078 – Grant Billable Unit Budget (Statistics)

See the chapters on entering transactions for additional information.

Financial Plans

R★STARS agencies may choose to record financial plans at low levels of detail to provide a management tool for the day-to-day monitoring of governmental activities. They may enter financial plans for expenditures, revenues, and statistical units. The system does not provide for controls over these plans. Financial plan transactions affect only the general ledger financial table and the accounting event financial table.

ENTERING FINANCIAL PLANS

Financial plans are established in R⋆STARS by entering batches:

- Batch type of *1*
- Document type of *AB*

The transaction codes for entering and adjusting financial plans include:

060 – Agency Expenditure Financial Plan
061 – Agency Revenue Financial Plan
062 – Agency Transfer In Financial Plan
063 – Agency Transfer Out Financial Plan

Allotments

Allotments are a division of budgets by time period for either agency budgets or appropriations. Allotments can be entered manually or system generated and divided monthly, quarterly, or in one lump sum for appropriations. Allotments can only be entered manually for agency budgets. Balances from one month/quarter are automatically carried forward to the next month/quarter. Allotment control can be set to *fatal*, *warn* or *ignore*. The control for allotments of appropriations will usually be different from the control for allotments of agency budgets.

Oregon specific for appropriations: allotments are entered quarterly by agency staff, and released by BAM staff.

Oregon specific for agency budgets: allotments are entered at the discretion of agency staff. Approval and release authority is within each agency.

Allotments for appropriations, like allotments for agency budgets, are entered by agency staff. However, only BAM staff can release the appropriation allotments batches entered by an agency. The effective date is generally the first day of the new quarter.

Allotments are entered quarterly for appropriation and agency budgets using appropriate transaction codes. These transaction codes include:

002 – Appropriation Allotment (Batch Type *1* or *7*, Document Type *AL*)
022 – Agency Budget Allotment (Batch Type *1*, Document Type *AL*)

Changes in allotments that may occur during the year are made using the same transaction code used to load the original allotments.

Allotments are entered using the **503** screen using a Batch Type of *1*.

503 – Budgetary Transaction Entry

This screen is selected when Batch Type *1* is entered in the batch header.

```
 S503   UC: 02                 STATE OF OREGON              08/20/13 10:55 AM
 LINK TO:                 BUDGETARY TRANSACTION ENTRY          NOTE:      PROD
 BATCH: AGENCY 101 DATE 082013 TYPE 1 NO 001 SEQ NO 00001 MODE EDIT AND POST
    DOC DATE:                EFF DATE: 082013
 CUR DOC/SFX:               REF DOC/SFX:                  AGENCY:
  TRANS CODE:
       INDEX:
         PCA:                                             AY: 15
 COMP/AGY OBJ:
      AMOUNT:                RVS:              FUND OVRD:
  DOC COUNT:               DOC AMT:              DOC AGY: 101
  DESCRIPTION:



     APPN NO:                   FUND:             GL ACCT/AGY:
 GRANT NO/PH:             SUB GRANTEE:               PROJ NO/PH:
 MPCD:             AGY CD-1:      2:       3:            RTI:




 F1-HELP  F3-RTI  F4-EDIT  F6-BALANCING  F7-DETAILS  F9-INTERRUPT  F10-SAVE
 F11-SAVE/CLEAR  F12-HEADERS  CLEAR-EXIT
```