Appropriations and Allotments

Topic Objectives

After completing this topic, you will be able to:

Process	Approvals Required
Modify Allotments	Agency and OA
Modify Appropriations and Allotments	Agency and OA
Modify the Governor's Reserve Amount	Agency and OA
Establish and Modify an Agency Reserve	Agency
Transfer Appropriation and Allotment Amounts	Agency and OA

Topic Overview

This topic introduces you to the following tables and documents:

Process	Approvals Required
Allotment Inquiry (Extended) (EALL)	N/A
Appropriation Index (Extended) (EAPP)	N/A
Appropriation Inquiry (Extended) (EAP2)	N/A
Allotment (AL)	Agency and OA

Appropriation (AP)	Agency and OA
Agency Reserve (AR)	Agency
Transfer Appropriation (TA)	Agency and OA

After budgets have been approved, appropriations and allotments will be loaded from the budget preparation system to the financial system. During the budget fiscal year, agencies may need to make adjustments to appropriations and allotments.

Full control will be used for appropriations. With full control, for every expenditure and encumbrance transaction, the system will check to ensure that a valid appropriation line exists and that the appropriation amount is not exceeded.

Allotments establish spending controls over specified periods. Like appropriations, allotments are established by each combination of Fund, Agency, and Appropriation Unit.

Appropriations will be allotted and controlled on a quarterly basis. Each fiscal year, the Division of Budget and Planning will determine the percent allocated for each quarter. For SAM II implementation, allotments will be established with 75% of the authorized appropriation available in the first quarter of the fiscal year and the remaining authorized appropriation available in the fourth quarter of the fiscal year. In SAM II, encumbrances will impact allotment balances. Therefore, additional allotment authority is necessary earlier in the fiscal year for encumbrance processing.

Cumulative control will be used for allotments. With cumulative control, any portion of an allotment that is not obligated in one quarter is available in subsequent quarters. The total obligations for a quarter cannot exceed the year-to-date allotment balance.

Routing and Approving Appropriation and Allotment Documents using Workflow

Workflow rules have been established to route appropriation and allotment documents to different users for approval. Both appropriation and allotment documents need to be reviewed simultaneously prior to approval. Therefore, Workflow rules and approvals require that these documents be placed in a Held status in order to route them to the next user for approval. By placing the document on hold, Workflow will route it to the next approver's Worklist. Each approver will **Process: Edit** and then **Process: Hold** the document. **Process: Hold** will route the document to each approver's Worklist until it reaches the Worklist of the Assistant Director of Budget and Planning, who will **Process: Approve and Run** the document.

The Appropriation (AP) document, the Allotment (AL) document, the Transfer Appropriation (TA) document will be routed to the Division of Budget and Planning for approval. These documents may also require agency approvals depending on your agency's procedures.

The Agency Reserve (AR) document may be routed within the Agency for approval depending on your agency's procedures. This documents will not be routed to the Division of Budget and Planning for approval.

Allotment Inquiry Table

Allotment Inquiry Extended (EALL)

The Allotment Inquiry Extended (EALL) table contains financial data related to allotments. Allotment amounts are updated when the financial system accepts a new or modified Allotment (AL) document. Pre-encumbered amounts, encumbered amounts, expended amounts, uncommitted amounts, and unexpended amounts are updated when the financial system accepts a purchasing or accounting document.

Entering a key field or combination of key fields (Budget Fiscal Year, Fund, Agency, and Appropriation Unit) narrows the search for an inquiry.

Allotment Inquiry (Extended)

Budget Fiscal Year 99 Fund 0101 Agency 500 Org Appr Unit 4435

	Period	Allotment Amount	Pre-encumbered Amount	Encumbered Amount	Expended Amount	Uncommitted Amount	Unexpended Amount
1	991	300,000.00	0.00	0.00	0.00	300,000.00	300,000.00
2	992	0.00	0.00	0.00	0.00	0.00	0.00
3	993	0.00	0.00	0.00	0.00	0.00	0.00
4	994	100,000.00	0.00	0.00	0.00	100,000.00	100,000.00
5							
6							

Exercise 1 [Searching for Allotment Information]

Scenario:

You need to inquire on quarterly allotment amounts.

Step 1. From the **Budget Control** Business Area, click on the **Appropriations and Allotments** Business Function, then click on the **EALL** table.

Step 2. In the EALL table, fill in the following fields with the information from your data card for your appropriation and allotment for Exercise 1:

Budget Fiscal Year: ***99***

Fund: ***Provided by Instructor***

Agency: ***Provided by Instructor***

Org: ***Leave Blank***

Appr Unit: ***Provided by Instructor***

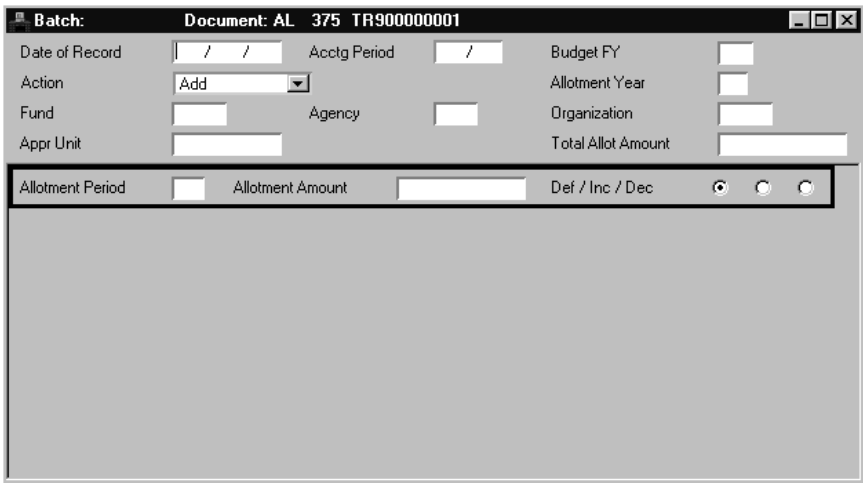
Select **Display: Browse Data** to display allotment information.

The inquiry table displays allotment period amounts, obligations against the allotment periods, and unobligated allotment amounts. $300,000 is in the Allotment Amount field for the first period, $0 is in the Allotment Amount field for the second period, $0 is in the Allotment Amount field for the third period, and $100,000 is in the Allotment Amount field for the fourth period.

Step 3. Leave the inquiry screen open for the next exercise.

Allotment (AL) Document

Agencies will use the Allotment (AL) document to transfer allotment authority between allotment periods for an appropriation. These documents will be approved by the Division of Budget and Planning.



Field Name	Definition
Date of Record	Defaults to the date that the system accepts the document. Nothing will appear in this field when processing the document.
Acctg Period	If this AL document is being processed during the lapse period, enter the applicable accounting period in fiscal month/fiscal year (mm/yy) format. If left blank, this field defaults to the current accounting period. Nothing will appear in this field when processing the document.
Budget FY	Enter the last two digits (yy) of the applicable budget fiscal year.

Field Name	Definition
Action	Defaults to **Add**. Selections include: **Add** – Used to add a new allotment. **Modify -** Used to modify an existing allotment. **Deactivate** – Not applicable. Do not use this selection. **Full Modify -** Not applicable. Do not use this selection. If changing an allotment, select the modify action.
Allotment Year	Enter the last two digits (yy) of the applicable fiscal year.
Fund	Enter the code for the appropriate fund. Refer to Fund Index (FUND) table for valid codes.
Agency	Enter the code for the appropriate agency. Refer to Agency Index (AGCY) table or Fund Agency Index (FAGY) table for valid codes.
Organization	Do not enter data into this field.
Appr Unit	Enter the code for the applicable appropriation unit. Refer to Appropriation Index Extended (EAPP) for valid values.
Total Allot Amount	Enter the net effect of the **Allotment Amounts** for all lines of this document. Do not enter cents. ***To determine the Total Allot Amount, add the increase lines and subtract the decrease lines. If the net effect results in a negative number, do not enter the negative sign***

Field Name	Definition
	in this field.
Allotment Period	Enter a valid allotment period. Valid entries include: **01 –** First quarter of the budget fiscal year. **02 –** Second quarter of the budget fiscal year. **03 –** Third quarter of the budget fiscal year. **04 –** Fourth quarter of the budget fiscal year. Since there is cumulative control for allotments, allotment authority not exhausted in Allotment Period 01 will be available during Allotment Period 02, but only if an Allotment Period 02 exists. Create an allotment period for any quarter that will have obligations charged against that period, even if the amount is zero. ***List allotment periods with decrease amounts prior to listing any allotment periods with increase amounts to avoid document errors.***
Allotment Amount	If adding a new allotment, enter the amount for that allotment period. Do not enter cents. If modifying an existing allotment, enter the amount of increase or decrease for that allotment period. Do not enter cents.
Def/Inc/Dec	**Def** is Default. Selections include:

Field Name	Definition
	Def – Used to establish the amount for a new allotment period. **Inc** – Used to increase the amount for that allotment period. **Dec** – Used to decrease the amount for that allotment period. If increasing or decreasing the amount for the allotment period, select the appropriate action.

Exercise 2: [Modifying Allotment Amounts Using the AL Document]

Scenario:

You need to adjust the allotment amounts to move the allotment authority from the fourth allotment period to the third allotment period.

Step 1. From the **Budget Control** Business Area, click on the **Appropriation and Allotment** Business Function, then click on the **AL** document.

The Batch/Document Entry window appears with the Allotment document automatically selected in the Document Type field.

Step 2. Enter the three characters for the agency from your data card in the first part of the Document ID. Enter TR in the second part of the Document ID.

Select **Automatic Document Numbering**.

Select **New**.

Select **OK**.

Step 3. A blank AL document will appear. In the header of the AL document, fill in the following fields with information from your data card for your allotment for Exercise 2:

Budget FY: ***99***

Action: ***Modify***

Allotment Year: ***99***

Fund: ***Provided by Instructor***

Agency: ***Provided by Instructor***

Organization: ***Leave Blank***

Appr Unit: ***Provided by Instructor***

Total Allot Amount: ***0*** *(This amount represents the net effect of the lines in the AL document.)*

Fill in the following fields in the first line of the AL document:

Allotment Period: ***04***

Allotment Amount: ***100,000***

Def/Inc/Dec: ***Dec*** *(You are decreasing the allotment amount for Period 4 from $100,000 to $0.)*

Step 4. Select **Edit: Insert Line After** to add a new allotment line.

Fill in the following fields in the second line of the AL document:

Allotment Period: ***03***

Allotment Amount: ***100,000***

Def/Inc/Dec: ***Inc*** *(You are increasing the allotment amount for Period 3 from $0 to $100,000.)*

Step 5. Edit the AL document by selecting **Process: Edit.**

Step 6. If there are no errors, select **Process: Hold**. Close the AL document. Once the document is closed, it should be routed to your Worklist, where it will be placed in a Held status.

Step 7. Open your Worklist and refresh it by selecting **Actions: Worklist: Refresh Worklist**.

Step 8. Open the AL document from your Worklist. Approve and run the document by selecting **Process: Approve and Run**. Close the document.

In production, you will only **Process: Edit** and **Process: Hold** the AL document to apply approvals. The Assistant Director of Budget and Planning will approve and run the document.

Step 9. Go to the **EALL** table to view updated allotment information.

Step 10. Close the window by selecting the **Close** button at the bottom of the Business Function window.

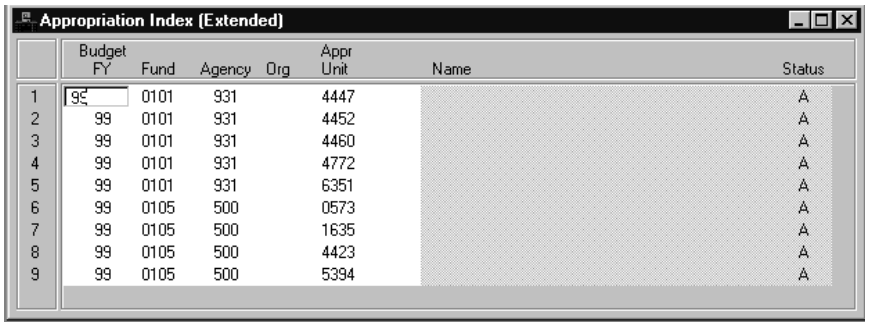
Appropriation Inquiry Tables

Appropriation Index Extended (EAPP)

The Appropriation Index Extended (EAPP) table lists appropriations for a budget fiscal year. The index is updated when the financial system accepts and processes an Appropriation (AP) document to add a new appropriation unit (which will be interfaced from the budget preparation system), to change the name of an appropriation unit, or to change the status of an appropriation unit.

The index lists and sorts appropriation units in the following order: Budget Fiscal Year, Fund, Agency, and Appropriation Unit. Organization is not used on appropriations.

Entering a key field or a combination of key fields (Budget Fiscal Year, Fund, Agency, and Appropriation Unit) narrows the search for an inquiry.



Appropriation Index (Extended)

	Budget FY	Fund	Agency	Org	Appr Unit	Name	Status
1	99	0101	931		4447		A
2	99	0101	931		4452		A
3	99	0101	931		4460		A
4	99	0101	931		4772		A
5	99	0101	931		6351		A
6	99	0105	500		0573		A
7	99	0105	500		1635		A
8	99	0105	500		4423		A
9	99	0105	500		5394		A

Appropriation Inquiry Extended (EAP2)

The Appropriation Inquiry Extended (EAP2) table contains budget data and financial data associated with an appropriation unit. Budget data includes the appropriation amount, the total allotment amount, the reverted amount (the Governor's Reserve), the agency reserve amount, the expense budget amount, and transfers in and transfers out of appropriation authority. Financial data includes pre-encumbered, encumbered, and expended amounts. Lines are added to this table when the financial system accepts new appropriation units. Existing lines on this table are updated when the financial system accepts modifications to appropriations and when it accepts accounting transactions.

Entering a key field or a combination of key fields (Budget Fiscal Year, Fund, Agency, and Appropriation Unit) narrows the search for an inquiry.

Appropriation Inquiry (Extended)

Budget Fiscal Year: 99 | Fund: 0101 | Agency: 500 | Org: | Appr Unit: 4423

Appr Type: Regular | ☐ Multiyear | ☑ Active | Appr End Date: 06 / 30 / 99

Budget Authority Opt: Appropriation Only

Name: | Short Name:

Receipts

Original Estimated	0.00	Current Estimated	0.00	Actual	0.00

Appropriation

Original	400,000.00	Current	400,000.00	Begin Day	0.00

Begin Cash Bal	0.00	Reverted	0.00	Transfer in	0.00
Transfer out	0.00	Agency Reserve	0.00	Allotment	400,000.00
Expense Budget	400,000.00	Budget Authority	400,000.00		

Amounts

	Current	Begin Day				
Pre-encumbered	0.00	0.00	Uncommitted	400,000.00	/ 100.00	%
Encumbered	0.00	0.00	Unexpended	400,000.00	/ 100.00	%
Expended	0.00	0.00				

Exercise 3 [Searching for Appropriation Information]

Scenario:

You need to inquire on an appropriation unit.

Step 1. From the **Budget Control** Business Area, click on the **Appropriations and Allotments** Business Function, then click on the **EAP2** table.

Step 2. In the EAP2 table, fill in the following fields with the information from your data card for your appropriation and allotment for Exercise 3:

Budget Fiscal Year: ***99***

Fund: ***Provided by Instructor***

Agency: ***Provided by Instructor***

Org: ***Leave Blank***

Appr Unit: ***Provided by Instructor***

Select **Display: Browse Data** to display information on this appropriation unit.

The inquiry table displays various information on this appropriation unit. $100,000 is in the Original Appropriation field, the Current Appropriation field, the Allotment field, the Expense Budget field, and the Budget Authority field.

Step 3. Leave the inquiry screen open for the next exercise.

Appropriation (AP) Document

Agencies will use the Appropriation (AP) document to increase and decrease appropriation amounts, to increase and decrease the Governor's Reserve, and to deactivate and reactivate an appropriation.

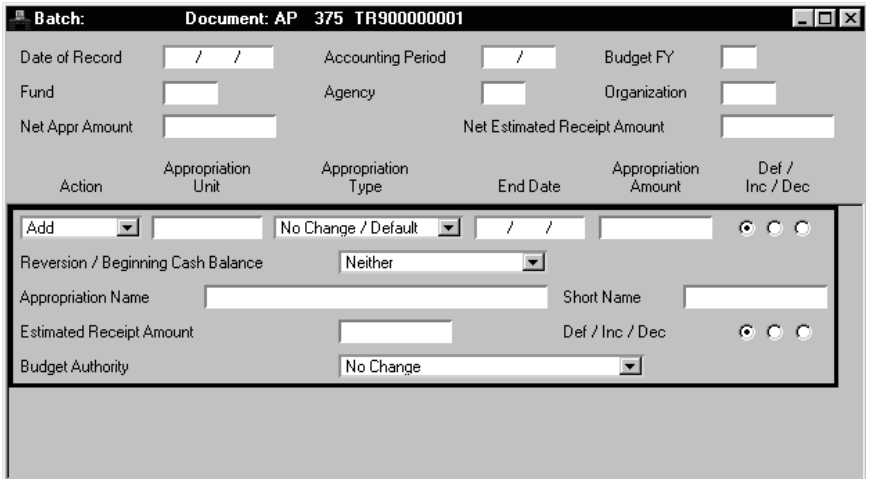
Agencies will also need to use the Allotment (AL) document when increasing and decreasing appropriation amounts and increasing and decreasing the Governor's Reserve.

Agencies will use the AP document and the AL document to modify appropriations and allotments in the following ways:

- Agencies will need to modify appropriations and allotments to increase Estimated Appropriations. ***Agencies must use both the AP document and the AL document to modify an appropriation, as allotments related to the appropriation must also be modified.*** The Division of Budget and Planning must approve increases of appropriation authority.

- During the fiscal year, agencies may request an increase or a decrease to the Governor's Reserve on an appropriation. Increasing the Governor's Reserve decreases the appropriation and allotment authority. Decreasing the Governor's Reserve increases the appropriation and allotment authority. ***Agencies must use both the AP document and the AL document to modify an appropriation, as allotments related to the appropriation must also be modified.*** The Division of Budget and Planning must approve modifications to the Governor's Reserve.

- The AP document can be used to identify an appropriation as inactive. If an appropriation is inactive (deactivated), any expenditure and encumbrance transactions that reference the appropriation will reject. Once an appropriation is deactivated, no obligations may be charged against the appropriation unless it is reactivated. The AP document can also be used to reactivate an appropriation that had been deactivated. Once the appropriation has been reactivated, the system will process expenditure and encumbrance transactions that reference the appropriation. The Division of Budget and Planning must approve deactivations and reactivations of appropriations. Deactivating and reactivating appropriations will seldom occur.



Field Name	Definition
Date of Record	Defaults to the date that the system accepts the document. Nothing will appear in this field when processing the document.
Accounting Period	If this AP is being processed during the lapse period, enter the applicable accounting period in fiscal month/fiscal year (mm/yy) format. If left blank, this field defaults to the current accounting period. Nothing will appear in this field when processing the document.
Budget FY	Enter the last two digits (yy) of the applicable budget fiscal year.
Fund	Enter the code for the appropriate fund. Refer to Fund Index (FUND) table for valid codes.
Agency	Enter the code for the appropriate agency. Refer to Agency Index (AGCY) table or Fund Agency Index (FAGY) table for valid codes.

Field Name	Definition
Organization	Do not enter data into this field.
Net Appr Amount	If adding or modifying appropriation units, enter the net effect of the **Appropriation Amounts** for all lines of this document. Do not enter cents. ***To determine the Net Appr Amount, add the increase lines and subtract the decrease lines. If the net effect results in a negative number, do not enter the negative sign in this field.*** If deactivating or reactivating an existing appropriation unit, do not enter a value.
Net Estimated Receipt Amount	Do not enter data into this field.
Action	Defaults to **Add**. Selections include: **Add –** Used to add a new appropriation unit or reactivate an inactive appropriation unit. **Modify –** Used to modify an existing appropriation unit (i.e. adjust the Governor's reserve or increase an estimated appropriation amount). **Deactivate** – Used to deactivate an existing appropriation unit. No further obligations may be charged against this appropriation unit. If modifying or deactivating an appropriation unit, select the appropriate action.
Appropriation Unit	If this is a new appropriation unit, enter the value for the appropriation unit. If modifying, deactivating, or reactivating an appropriation unit, enter

Field Name	Definition
	the code for the applicable appropriation unit. Refer to Appropriation Index (Extended) (EAPP) for valid codes.
Appropriation Type	Default is **No Change/Default**. Selections include: **Regular** – Used for annual appropriations. **Continuing** – Used for biennial appropriations. **Supplemental** – Used for supplemental appropriations. **Special** – Used only by the Office of Administration for reappropriation processing. **No Change/Default** – Default. If adding a new appropriation unit, select the appropriation type. If modifying an existing appropriation unit, no selection is necessary unless the appropriation type needs to be changed. If reactivating or deactivating an existing appropriation unit, no selection is necessary.
End Date	Default is the date that the fiscal year ends. After this date, no obligations may be charged against this appropriation unit. If adding a new appropriation unit, enter the date the lapse period ends.

Field Name	Definition
	If modifying, deactivating or reactivating an appropriation unit, do not enter data into this field.
Appropriation Amount	If adding a new appropriation unit, enter the appropriation amount. Do not enter cents. If modifying an appropriation unit amount or the Governor's reserve amount, enter the amount of the increase or decrease for the appropriation unit. Do not enter cents. The appropriation unit amount may not be decreased below the amount currently obligated against this appropriation. If deactivating or reactivating an appropriation, do not enter an amount.
Def/Inc/Dec	**Def** is the default. Selections include: **Def** – Used to establish a new appropriation unit amount or when deactivating and reactivating an existing appropriation unit. **Inc** – Used to increase the appropriation unit amount or decrease the Governor's reserve (reversion amount). **Dec** – Used to decrease the appropriation unit amount or increase the Governor's reserve (reversion amount). If increasing or decreasing an appropriation amount or the Governor's reserve, select the appropriate action.

Field Name	Definition
Reversion/Beginning Cash Balance	Default is **Neither**. Selections include: **Reversion** – Used for appropriation units subject to the Governor's reserve. **Beginning Cash Balance** – Not Applicable. Do not use this selection. **Neither** – Default. Used for actions not related to the Governor's reserve. If the **Appropriation Amount** represents a reversion (Governor's reserve) of funds, select the reversion action from the drop-down menu.
Appropriation Name	If adding an appropriation unit, enter a description for the appropriation unit. If modifying the appropriation unit, do not make an entry in this field unless a new description is necessary. If deactivating or reactivating an existing appropriation unit, do not make an entry in this field.
Short Name	If adding an appropriation unit, enter a short description for the appropriation unit. If modifying the appropriation unit, do not make an entry in this field unless a new short description is necessary. If deactivating or reactivating an existing appropriation unit, do not make an entry in this field.
Estimated Receipt Amount	Do not enter data into this field.
Def/Inc/Dec	Do not enter data into this field.

Field Name	Definition
Budget Authority	Default is **No Change.** Selections include: **Appropriation Only** – Used to establish a new appropriation unit. **Actual Receipts** – Not applicable. Do not use this selection. **Estimated Receipts** – Not applicable. Do not use this selection. **Greater of Actual or Estimated Receipts** – Not applicable. Do not use this selection. **Lesser of Actual or Estimated Receipts** – Not applicable. Do not use this selection. **No Change** – Default. Used when modifying, deactivating, or reactivating an existing appropriation unit. If adding a new appropriation unit, select **Appropriation Only**.

Exercise 4: [Increasing an Appropriation Using the AP and AL Documents]

Scenario:

You need to increase an Estimated Appropriation from $100,000 to $150,000.

Step 1. From the **Budget Control** Business Area, click on the **Appropriations and Allotments** Business Function, then click on the **AP** document.

The Batch/Document Entry window appears with the Appropriation document automatically selected in the Document Type field.

Step 2. Enter the three characters for the agency from your data card in the first part of the Document ID. Enter TR in the second part of the Document ID.

Select **Automatic Document Numbering**.

Select **New**.

Select **OK**.

Step 3. A blank AP document will appear. Fill in the following fields in the AP document with the information from your data card for your appropriation for Exercise 4:

Budget FY: ***99***

Fund: ***Provided by Instructor***

Agency: ***Provided by Instructor***

Organization: ***Leave Blank***

Net Appr Amount: ***50,000***

Net Estimated Receipt Amount: ***Leave Blank***

Action: ***Modify***

Appropriation Unit: ***Provided by Instructor***

Appropriation Type: ***No Change/Default***

End Date: ***Leave Blank***

Appropriation Amount: ***50,000***

Def/Inc/Dec: ***Inc***

Reversion/Beginning Cash Balance: ***Neither***

Appropriation Name: ***Leave Blank***

Short Name: ***Leave Blank***

Estimated Receipt Amount: ***Leave Blank***

Def/Inc/Dec: ***Def***

Budget Authority: ***No Change***

Step 4. Edit the AP document by selecting **Process: Edit.**

Step 5. If there are no errors, select **Process: Hold**. Close the AP document. Once the document is closed, it should be routed to your Worklist, where it will be placed in a Held status.

Step 6. Now you will increase the allotment amounts. Click on the **AL** document. The Batch/Document Entry window appears with the Allotment document automatically selected in the Document Type field.

Step 7. Enter the three characters for the agency from your data card in the first part of the Document ID. Enter TR in the second part of the Document ID.

Select **Automatic Document Numbering**.

Select **New**.

Select **OK**.

Step 8. A blank AL document will appear. Fill in the following fields in the header of the AL document with information from your data card for your appropriation and allotment for Exercise 4:

Budget FY: ***99***

Action: ***Modify***

Allotment Year: ***99***

Fund: ***Provided by Instructor***

Agency: ***Provided by Instructor***

Organization: ***Leave Blank***

Appr Unit: ***Provided by Instructor***

Total Allot Amount: ***50,000***

Fill in the following fields in the first line of the AL document:

Allotment Period: ***01***

Allotment Amount: ***50,000***

Def/Inc/Dec: ***Inc***

Step 9. Edit the AL document by selecting **Process: Edit**.

You will receive two error messages: *Document Errors Detected* and *Allt Amt>Appr Budget Auth.* These errors exist because the AP document has not been accepted by the system. In production, the AL document will be processed by the Assistant Director of Budget and Planning once the AP document has been reviewed.

Step 10. If there are no other errors, select **Process: Hold**. Close the AL document. Once the document is closed, it should be routed to your Worklist, where it will be placed in a Held status.

Step 11. Open your Worklist and refresh it by selecting **Actions: Worklist: Refresh Worklist**.

Step 12. Open the AP document from your Worklist. The AP document should be in a Held status. Approve and run the document by selecting **Process: Approve and Run**. Close the AP document.

Step 13. Open the AL document from your Worklist. The AL document should be in a Held status. Edit the AL document by selecting **Process: Edit**. If there are no errors, approve and run the AL document by selecting **Process: Approve and Run**. Close the AL document.

In production, you will only **Process: Edit** and **Process: Hold** the AP document and the AL document to apply approvals. The Assistant Director of Budget and Planning will approve and run these documents.

Step 14. Once you have run the AP and AL documents, they update the appropriation and allotment tables. Go to the **EAP2** table and **EALL** table to view updated appropriation and allotment information.

Step 15. Close all open windows by selecting the **Close** button at the bottom of the Business Function window.

The Governor's Reserve

To meet the State's constitutional requirement of a balanced budget, some appropriations are subject to a Governor's Reserve or a withholding. Appropriations that are subject to a Governor's Reserve are identified in the budget preparation system. A Governor's Reserve or withholding reduces the available spending authority for an appropriation. The allotment authority for such appropriations is also reduced.

The Division of Budget and Planning determines which appropriations are subject to a Governor's Reserve or a withholding and controls the amount that must be maintained in reserves during the fiscal year. The Division of Budget and Planning also determines the percent of the Governor's Reserve (usually 3% of an appropriation) prior to loading the appropriations and allotments into the financial system.

On the Appropriation Inquiry Extended (EAP2) table, the Governor's Reserve amount is displayed in the Reverted field.

Exercise 5: [Increasing the Governor's Reserve Amount Using the AP and AL Documents]

Scenario:

You need to increase the Governor's Reserve amount for an appropriation unit.

Step 1. From the **Budget Control** Business Area, click on the **Appropriation and Allotment** Business Function, then click on the **EAP2** table to view the Governor's Reserve amount for your appropriation unit for Exercise 5 on your data card.

Step 2. To increase the Governor's Reserve, you must decrease the allotment authority before you decrease the appropriation authority.

Click on the **AL** document. The Batch/Document Entry window appears with the Allotment document automatically selected in the Document Type field.

Step 3. Enter the three characters for the agency from your data card in the first part of the Document ID. Enter TR in the second part of the Document ID.

Select **Automatic Document Numbering**.

Select **New**.

Select **OK**.

Step 4. A blank AL document will appear. Fill in the following fields in the header of the AL document with information from your data card for your appropriation and allotment for Exercise 5:

Budget FY: ***99***

Action: ***Modify***

Allotment Year: ***99***

Fund: ***Provided by Instructor***

Agency: ***Provided by Instructor***

Organization: ***Leave Blank***

Appr Unit: ***Provided by Instructor***

Total Allot Amount: ***9,000***

Fill in the following fields in the first line of the AL document:

Allotment Period: ***01***

Allotment Amount: ***9,000***

Def/Inc/Dec: ***Dec***

Step 5. Edit the AL document by selecting **Process: Edit.**

Step 6. If there are no errors, select **Process: Hold**. Close the AL document. Once your document is closed, it should be routed to your Worklist, where it will be placed in a Held status.

Step 7. To increase the Governor's Reserve, you must now decrease your appropriation authority.

Click on the **AP** document. The Batch/Document Entry window appears with the Appropriation document automatically selected in the Document Type field.

Step 8. Enter the three characters for the agency from your data card in the first part of the Document ID. Enter TR in the second part of the Document ID.

Select **Automatic Document Numbering**.

Select **New**.

Select **OK**.

Step 9. A blank AP document will appear. Fill in the following fields in the AP document with the information from your data card for appropriation for Exercise 5:

Budget FY: ***99***

Fund: ***Provided by Instructor***

Agency: ***Provided by Instructor***

Organization: ***Leave Blank***

Net Appr Amount: ***9,000***

Net Estimated Receipt Amount: ***Leave Blank***

Action: ***Modify***

Appropriation Unit: ***Provided by Instructor***

Appropriation Type: ***No Change/Default***

End Date: ***Leave Blank***

Appropriation Amount: ***9,000***

Def/Inc/Dec: ***Dec***

Reversion/Beginning Cash Balance: ***Reversion*** *(Used for adjusting the Governor's Reserve)*

Appropriation Name: ***Leave Blank***

Short Name: ***Leave Blank***

Estimated Receipt Amount: ***Leave Blank***

Def/Inc/Dec: ***Def***

Budget Authority: ***No Change***

Step 10. Edit the AP document by selecting **Process: Edit**.

You will receive two error messages: *Document Errors Detected* and *Budget Authority< Allotments*. These errors exist because the AL document has not been accepted by the system. In production, the AP document will be processed by the Assistant Director of Budget and Planning once the AL document has been reviewed.

Step 11. If there are no other errors, select **Process: Hold**. Close the AP document. Once the document is closed, it should be routed to your Worklist, where it will be placed in a Held status.

Step 12. Open your Worklist and refresh it by selecting **Actions: Worklist: Refresh Worklist**.

Step 13. Open the AL document from your Worklist. The AL document should be in a Held status. Approve and run the document by selecting **Process: Approve and Run**. Close the AL document.

Step 14. Open the AP document from your Worklist. The AP document should be in a Held status. Edit the AP document by selecting **Process: Edit**. If there are no errors, approve and run the AP document by selecting **Process: Approve and Run**. Close the AP document.

In production, you will only **Process: Edit** and **Process: Hold** the AP document and the AL document to apply approvals. The Assistant Director of Budget and Planning will approve and run these documents.

Step 15. Once you have run the AP and AL documents, they update the appropriation and allotment tables. Go to

the **EAP2** table and **EALL** table to view updated appropriation and allotment information.

Step 16. Close the window by selecting the **Close** button at the bottom of the Business Function window.

Exercise 6: [Decreasing the Governor's Reserve Amount Using the AP and AL Documents]

Scenario:

You need to decrease the Governor's Reserve amount for the same appropriation unit by $1,000.

Step 1. From the **Budget Control** Business Area, click on the **Appropriation and Allotment** Business Function, then click on the **EAP2** table to view the Governor's Reserve amount for your appropriation unit for Exercise 6 on your data card.

Step 2. To decrease the Governor's Reserve, you must increase the appropriation authority before you increase the allotment authority.

Click on the **AP** document. The Batch/Document Entry window appears with the Appropriation document automatically selected in the Document Type field.

Step 3. Enter the three characters for the agency from your data card in the first part of the AP Document ID. Enter TR in the second part of the Document ID.

Select **Automatic Document Numbering**.

Select **New**.

Select **OK**.

Step 4. A blank AP document will appear. Fill in the following fields in the AP document with the information from your data card for your appropriation for Exercise 6:

Budget FY: ***99***

Fund: ***Provided by Instructor***

Agency: ***Provided by Instructor***

Organization: ***Leave Blank***

Net Appr Amount: ***1,000***

Net Estimated Receipt Amount: ***Leave Blank***

Action: ***Modify***

Appropriation Unit: ***Provided by Instructor***

Appropriation Type: ***No Change/Default***

End Date: ***Leave Blank***

Appropriation Amount: ***1,000***

Def/Inc/Dec: ***Inc***

Reversion/Beginning Cash Balance: ***Reversion*** *(Used for adjusting the Governor's Reserve)*

Appropriation Name: ***Leave Blank***

Short Name: ***Leave Blank***

Estimated Receipt Amount: ***Leave Blank***

Def/Inc/Dec: ***Def***

Budget Authority: ***No Change***

Step 5. Edit the AP document by selecting **Process: Edit.**

Step 6. If there are no errors, select **Process: Hold**. Close the AP document. Once your document is closed, it should be routed to your Worklist, where it will be placed in a Held status.

Step 7. Now you will increase the allotment amounts. Click on the **AL** document. The Batch/Document Entry window appears with the Allotment document automatically selected in the Document Type field.

Step 8. Enter the three characters for the agency from your data card in the first part of the Document ID. Enter TR in the second part of the Document ID.

Select **Automatic Document Numbering**.

Select **New**.

Select **OK**.

Step 9. A blank AL document will appear. Fill in the following fields in the header of the AL document with information from your data card for your appropriation and allotment for Exercise 6:

Budget FY: ***99***

Action: ***Modify***

Allotment Year: ***99***

Fund: ***Provided by Instructor***

Agency: ***Provided by Instructor***

Organization: ***Leave Blank***

Appr Unit: ***Provided by Instructor***

Total Allot Amount: ***1,000***

Fill in the following fields in the first line of the AL document:

Allotment Period: ***01***

Allotment Amount: ***1,000***

Def/Inc/Dec: ***Inc***

Step 10. Edit the AL document by selecting **Process: Edit**.

You will receive two error messages: *Document Errors Detected* and *Allt Amt>Appr Budget Auth*. These errors exist because the AP document has not been accepted by the system. In production, the AL document will be processed by the Assistant Director of Budget and Planning once the AP document has been reviewed.

Step 11. If there are no other errors, select **Process: Hold**. Close the AL document. Once the document is closed, it should be routed to your Worklist, where it will be placed in a Held status.

Step 12. Open your Worklist and refresh it by selecting **Actions: Worklist: Refresh Worklist**.

Step 13. Open the AP document from your Worklist. The AP document should be in a Held status. Approve and run the document by selecting **Process: Approve and Run**. Close the AP document.

Step 14. Open the AL document from your Worklist. The AL document should be in a Held status. Edit the AL document by selecting **Process: Edit**. If there are no errors, approve and run the AL document by selecting **Process: Approve and Run**. Close the AL document.

In production, you will only **Process: Edit** and **Process: Hold** the AP document and the AL document to apply approvals. The Assistant Director of Budget and Planning will approve and run these documents.

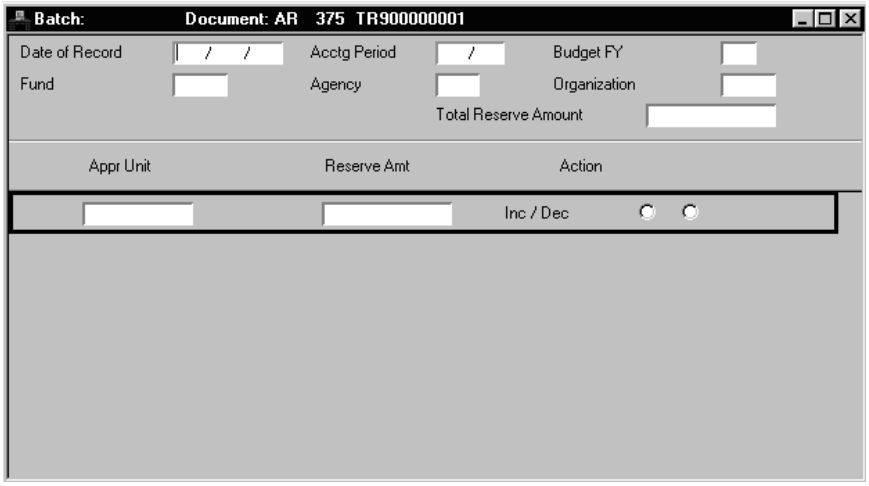
Step 15. Once you have run the AP and AL documents, they update the appropriation and allotment tables. Go to the **EAP2** table and **EALL** table to view updated appropriation and allotment information.

Step 16. Close the window by selecting the **Close** button at the bottom of the Business Function window.

Agency Reserve (AR) Document

Agencies can choose to apply an agency reserve to appropriations. This reserve is similar to the Governor's Reserve in that it reduces the available spending authority for an appropriation. The agency reserve amount will be reported separately from the Governor's Reserve amount. Agencies will determine which appropriations are subject to an agency reserve and are responsible for overseeing and approving changes to an agency reserve. Agencies will use the Agency Reserve (AR) document to establish an agency reserve on an appropriation and to increase and decrease an existing agency reserve amount. Agencies can establish and modify an agency reserve at any time during the fiscal year.

Allotments will not be impacted by the agency reserve. For example, an appropriation of $1,000,000 would have $750,000 allotted in the first quarter of the fiscal year, and $250,000 allotted in the fourth quarter of the fiscal year. The agency then decides to establish an agency reserve of $750,000 of this $1,000,000 appropriation. The agency can still spend the $250,000 of this appropriation that is not held in the agency reserve. The agency is free to spend the remaining $250,000 in the first quarter, since the allotment structure allows spending of up to $750,000 from this appropriation in the first quarter.



Field Name	Definition
Date of Record	Defaults to the date that the system accepts the document. Nothing will appear in this field when processing the document.
Accounting Period	If this AR is being processed during the lapse period, enter the applicable accounting period in fiscal month/fiscal year (mm/yy) format. If left blank, this field defaults to the current accounting period. Nothing will appear in this field when processing the document.
Budget FY	Enter the last two digits (yy) of the budget fiscal year.
Fund	Enter the code for the appropriate fund. Refer to Fund Index (FUND) table for valid codes.
Agency	Enter the code for the appropriate agency. Refer to Agency Index (AGCY) table or Fund Agency Index (FAGY) table for valid codes.
Organization	Do not enter data into this field.
Total Reserve Amount	Enter the net effect of the **Reserve Amounts** for all lines of this document. Do not enter cents. To determine the Total Reserve Amount, add the increase lines and subtract the decrease lines. If the net effect results in a negative number, do not enter the negative sign in this field.
Appr Unit	Enter the code for the applicable appropriation unit. Refer to Appropriation Index (Extended) (EAPP) table for valid codes.
Reserve Amount	Enter the reserve amount for the

Field Name	Definition
	appropriation unit. Do not enter cents.
Action	Defaults to **Inc.** **Inc** – Used to establish or increase an agency reserve amount. **Dec** – Used to decrease an agency reserve amount. If decreasing an agency reserve, select **Dec**.

Exercise 7: [Establishing an Agency Reserve Using the AR Document]

Scenario:

You need to increase the agency reserve for an appropriation.

Step 1. From the **Budget Control** Business Area, click on the **Appropriation and Allotment** Business Function, then click on the **EAP2** table to view the Agency Reserve amount for your appropriation unit for Exercise 7 on your data card.

Step 2. Click on the **AR** document. The Batch/Document Entry window appears with the Agency Reserve document automatically selected in the Document Type field.

Step 3. Enter the three characters for the agency from your data card in the first part of the Document ID. Enter TR in the second part of the Document ID.

Select **Automatic Document Numbering**.

Select **New**.

Select **OK**.

Step 4. A blank AR document will appear. Fill in the following fields in the AR document with information from your data card for your appropriation for Exercise 7:

Budget FY: ***99***

Fund: ***Provided by Instructor***

Agency: ***Provided by Instructor***

Organization: ***Leave Blank***

Total Reserve Amount: ***15,000***

Appr Unit: ***Provided by Instructor***

Reserve Amt: ***15,000***

Action: ***Inc***

Step 5. Edit the AR document by selecting **Process: Edit**. If there are no errors, approve and run the document by selecting **Process: Approve and Run**. Close the AR document.

Step 6. Go to the **EAP2** table to view updated information on this appropriation unit.

Step 7. Close all open windows by selecting the **Close** button at the bottom of the Business Function window.

Transfer Appropriation (TA) Document

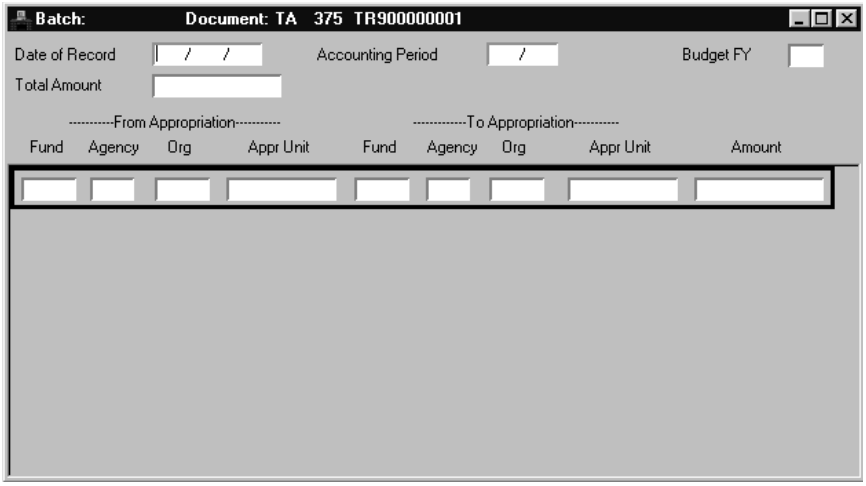
Agencies will use the Transfer Appropriation (TA) document to transfer appropriation authority between appropriation units within the same line item of a House Bill. Transfers can be made from one appropriation unit to another or from one appropriation unit to many appropriations units as long as the transfer occurs within the same line item of a House Bill.

Appropriation numbers are assigned by the Office of Administration for each combination of fund and agency. Multiple accounting lines may sometimes be established for one appropriation.

The set-up for an appropriation will determine if appropriation amounts may be transferred. If the appropriation set-up requires more than one accounting line to be established for a line item amount in an appropriation bill, amounts may be transferred between accounting lines. The total line amounts must equal the amount authorized by law in the appropriation bill. Appropriation set-ups that may require more than one accounting line include:

1. multiple funds, one agency, one appropriation number, and an amount for each fund;
2. one fund, multiple agencies, one appropriation number, and an amount for each agency;
3. multiple funds, multiple agencies, one appropriation number, and an amount for each fund/agency;
4. one fund, one agency, multiple appropriation numbers, and an amount for each appropriation number.

When transferring appropriation authority between appropriation units, the allotment authority for the appropriation units must also be adjusted.



Field Name	Definition
Date of Record	Defaults to the date that the system accepts the document. Nothing will appear in this field when processing the document.
Accounting Period	If this TA is being processed during the lapse period, enter the applicable accounting period in fiscal month/fiscal year (mm/yy) format. If left blank, this field defaults to the current accounting period. Nothing will appear in this field when processing the document.
Budget FY	Enter the last two digits (yy) of the applicable budget fiscal year.
Total Amount	Enter the sum of the **Amounts** for all lines of this document, including cents. If a number is entered without cents, the system assumes the cents. For example, if 50000 is entered the system will assume the number is 500.00.
Fund	Enter the code for the appropriate "transfer from" fund. Refer to Fund Index (FUND) table for valid codes.

Field Name	Definition
Agency	Enter the code for the appropriate "transfer from" agency. Refer to Agency Index (AGCY) table or Fund Agency Index (FAGY) table for valid codes.
Org	Do not enter data into this field.
Appr Unit	Enter the code for the appropriate "transfer from" appropriation unit. Refer to Appropriation Index (Extended) (EAPP) table for valid codes.
Fund	Enter the code for the appropriate "transfer to" fund. Refer to Fund Index (FUND) table for valid codes.
Agency	Enter the code for the appropriate "transfer to" agency. Refer to Agency Index (AGCY) table or Fund Agency Index (FAGY) table for valid codes.
Org	Do not enter data into this field.
Appr Unit	Enter the code for the appropriate "transfer to" appropriation unit. Refer to Appropriation Index (Extended) (EAPP) table for valid codes.
Amount	Enter the amount being transferred, including cents. If a number is entered without cents, the system assumes the cents. For example, if 50000 is entered the system will assume the number is 500.00.