TRANSFER OF FUNDS SYSTEM

Table of Contents

TRANSFER OF FUNDS SYSTEM

Access

In order to use the system, the User must:

-have access to Internet Explorer or Netscape Communicator
-have an activated LDAP (campus directory) account
-have an e-mail account
-be set up on All-In-One Financial System with one of the following security groups:

       TOF-DB   Viewer
       TOF-DU   Preparer
       TOF-RL   Approver

Logging On

The Transfer of Funds web site is:
      http://tof.isc.ucsb.edu

After you click on Login you will get a login screen as follows:
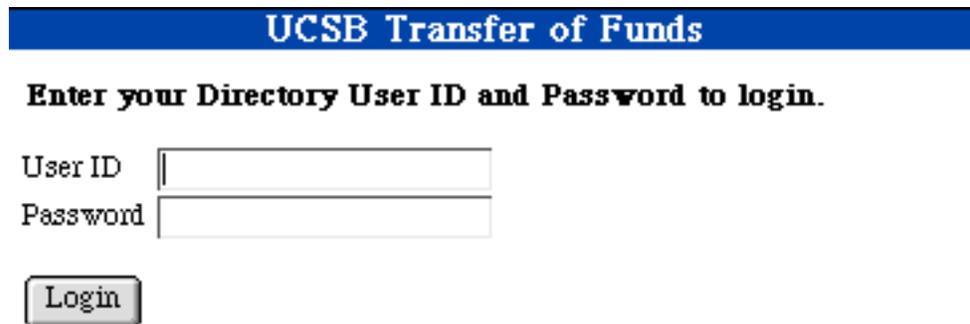
When this box appears, type in your User ID and Password. Your Userid and Password will be the same as in the Campus Directory and is case sensitive.
Click on Login.

USER PREFERENCES

When you logon to the transfer of funds system for the first time you should set up your User Preferences.
At the top of the screen, directly under UCSB Transfer of Funds, you will see User Preferences. Click on User Preferences and you will be presented with the following screen:

TRANSFER OF FUNDS SYSTEM

UCSB Transfer of Funds
Transfer Funds   User Preferences   System Settings

User: Arliene K. Shelor

User Preferences

ID   akshe

Name   Arliene K. Shelor

Department   BUDG - OFFICE OF BUDGET & PLANNING ◆

Telephone   805-893-4052

E-mail Address   arliene.shelor@bap.ucsb.edu

Forward To   LEE,TODD G. ◆

Forward To Dept   BUDG - OFFICE OF BUDGET & PLANNING ◆

On Vacation   ☐

Email Reminder   ☐

Status Menu   Awaiting Approval ◆

[Save Changes]

Forward To/Forward to Dept: If you pull down on these fields you will see a list of all Users of the system and their corresponding department. You should select the person (and their department) whom you want to default to when Forwarding Transfers. This generally will be the person who approves your transfers. This will be your default <u>only</u>. At any time you may change to forward transfers to someone else simply by using the drop-down boxes (see Forwarding a Transfer).

On Vacation: When you check this box, it will notify those sending you transfers that you are on vacation and it will give them the option of forwarding the transfer to someone else, or still send the transfer to you.

E-mail Reminder: When this box is checked it will allow people to send e-mails to you when sending you a transfer.

Status Menu: The status menu determines which screen you wish to have come up when you first go to the View screen. You may select from:

> New Transfers
> Awaiting Input
> Awaiting Approval
> Forwarded Transfers
> Processed Transfers

This is only the initial default. You can change the status at any time on the View screen. If your primary role is to create transfers, then New Transfers might be most preferable.

TRANSFER OF FUNDS SYSTEM

If your primary role is to approve transfers, then you may wish to have Awaiting Approval be the first list you see.

Once you have made these selections, click on Save Changes. All changes will happen immediately, except for the Status menu. The Status menu will be updated the next time you logon to the system. To exit this screen, click on Transfer Funds in the blue-shaded area.

When you are first logging on, you will get the following page:
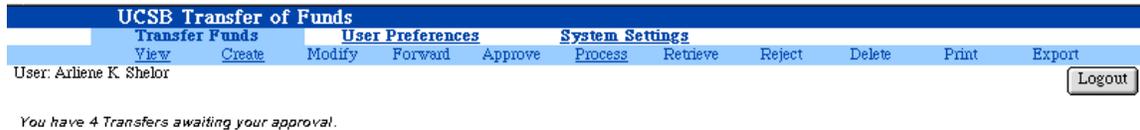
On this page you may receive messages such as:
You have 6 transfers awaiting your approval.
You have 1 transfer that has been changed
You have 1 transfer awaiting input.

These messages are meant to alert you of transfers that may need your attention.

After you have reviewed your messages you should proceed to either the View or Create screens. You will find these options in the blue-shaded area at the top of the TOF screen.

VIEW SCREEN

When the view screen is first displayed, the Status will always default to whatever you have indicated in User Preferences (see User Preference). Period will always be from July to the Present in the current fiscal year. Your departmental code and name will appear as well as CP indicator.
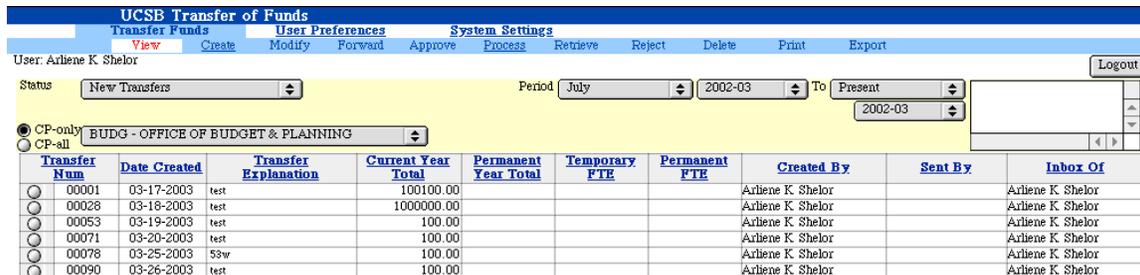
The main table displays information about transfers entered into the system. The standard columns that will always appear are Transfer Number, Date Created, Current Year Total, Permanent Year Total, Temporary FTE, Permanent FTE, Created By (originator of the transfer), Sent By (the last user who had the transfer in their Inbox) and Inbox Of (the person who currently has the transfer). In the bottom left-hand corner, the number of transfers displayed in the table is shown.

Following are descriptions of the fields on this screen:

Status:
The Status field is a drop-down box in which there are the following choices:

New Transfers - the table will display all transfers that were created by you that you have not yet forwarded.

Awaiting Input – the table will display all transfers that have been forwarded to you for your input. (Note: If you are set up in ALLN01 as a Preparer you will have this status. If you are set up as an Approver you will have the Awaiting Approval status).

Awaiting Approval - the table will display all transfers that have been forwarded to you for input or approval (Note: If you are not set up as an Approver in ALLN01, you will not have the option of this status).

Forwarded Transfers - the table will display all transfers that you have either created, rejected, added to or approved and have forwarded to other another User. The table will show you who currently has the transfer in their Inbox.

Processed Transfers - the table will display any transfers that have received Final Approval and have either been input into the general ledger, the permanent budget or both.

Period:
This will initially display July to the Present in the current fiscal year.
You may use this field to display transfers from a range of ledger periods or fiscal years. You may specify a single ledger period (i.e. July 2001-02 to July 2001-02) or for a range of ledger periods (May 2001-02 to December 2001-02.) You also may specify periods in past fiscal years in order to see previous year transfers.
Note: The system does contain historic transfers back to September 1994: only the transfers processed using the electronic system are contained within. Copies of processed on paper forms(UFIN 1520) can be obtained from the Accounting Office.

CP Only/CP All:
This feature is for Control Points only. You may use this field to view all transfers in a single department or a group of departments reporting to a single Control Point. When CP Only is selected, it will display the transfers that have activity in accounts that belong directly to the Control Point. CP All will display transfers that have activity in accounts which report to the Control Point.

Department Code/Department Name:
You will probably notice, that all of the departments at the University are not contained in the menu of departments. Only the campus departments that use the Transfer of Funds system will be listed. In addition, you will only be able to view transfers affecting your department. If you are a Control Point you will only be able to view transfers affecting your accounts and accounts owned by departments that report to you.

When viewing transfers, there are multiple ways to select only the transfers you want to see displayed:
-Period restricts the display to the desired ledger month or months.
-Department and either CP Only or CP All restricts the display to only transfers involving a certain department's or area's accounts.
-To view the transfers by person within your area, you may click on Created By, Sent By or Inbox Of. This will sort the transfers by person.
-A Control Point may select an individual department which reports to them by clicking on the '+' next to the Department Code/Department Name box. Once you have clicked the '+' the User may scroll down to a selected department and only transfers for that department will appear on the screen. To return to only reviewing the Control Point, click on the '-.'

Restricted Transfers
The Creator of a transfer has the ability to Restrict that transfer. These transfers generally have entries for several departments across campus (i.e. merits, range adjustments, etc). If a transfer is restricted, the Viewer will only see the line(s) that relate to their accounts.

Sorting Transfers in the Main Table
You may sort the transfers in the table. By default, they are sorted by Date Created in ascending order. To change the order listed, click on column heading.

Action Buttons which are listed at the bottom of the screen
Depending on which status is selected, buttons will display at the bottom of the screen. The following is a list of the buttons that will appear with each different status. In turn, each action will be discussed individually.

New Transfers: View Modify Forward Delete Print
Awaiting Input: View Modify Forward Retrieve Delete Print
Awaiting Approval: Approve View Modify Forward Reject Delete Print
Forwarded Transfers: View Retrieve Print

TRANSFER OF FUNDS SYSTEM

Processed Transfers: View Retrieve Search Export Print

CREATE SCREEN

To create a new transfer click on the <u>Create</u> button in the blue-shaded area on the screen. Clicking on the Create button will bring up the following screen:

Your department is displayed along with the current date as the Input Date and the current fiscal year as the Fiscal Year. The Transfer Number will initially be blank. This number will not be assigned until you have saved the transfer. Type Entry 14 will appear in the general ledger and will help you recognize the transaction as a transfer of funds.

The fiscal year field is a drop-down box that will contain the current fiscal year and the fiscal year immediately following. In most instances, you will want to create the transfer in the year initially displayed. During the month of July and into the first part of August, the system will remain in the previous fiscal year due to fiscal close activities performed by the Accounting Office. At this time, you may want to input transfers for the new fiscal year. This can be done by selecting the correct fiscal year from this drop-down box.

Transfer Purpose
This feature gives the User the opportunity to select from a group of pre-determined purposes to help you categorize, identify and sort processed transfers. Transfer Purpose is an optional feature, and therefore the default purpose is General. By using the drop-down box you may select from the following purposes:

Buildings and Planning
Committees/Conferences/Memberships
Fiscal Close
Fund Switch
General
Grants
Initiatives
Matching
Project Support
Reappropriation
Recruitment
Recurring Commitment
Staffing – Staff
Staffing – Academic
Workload

Inputting Data on the Transfer
To navigate around the transfer you must click or tab into the desired cell.

Account Name: Field will remain blank until you enter a location-account-fund-sub and click on the Save button (bottom left of screen).

Location: 8 or Q. The default will be location 8, however the User may change it to Q.

Account Number: The account number must be a valid account within the campus Chart of Accounts (COA). The transfer cannot be saved if the account is not in the current COA.

Fund Number: The fund number must be a valid fund within the campus Chart of Accounts (COA). The transfer cannot be saved if the fund is not in the current COA.

Sub Number: 0-9

Once the User clicks on the SAVE button (bottom of the screen) the system will verify if the location-account-fund-sub are valid. If the account and funds are verified as existing, the system will then determine if the location-account-fund-sub is linked. If the link is not valid, the system will ask you if you want to send an e-mail request to Accounting to create the link. An OK response will send a message to Accounting and an informational e-mail to the User. This link must be established before the Budget Office can make Final Approval.

If you need to use an account that you do not have permission to input, you should leave the location-account-fund-sub blank. It can then be filled in later by someone who does have authority to input that account (after it has been forwarded to him or her for input or approval). You may still input the rest of the information (dollar amount, description, title

code etc.) for the line. If the account is in the COA and you have permission to input the account, then you will notice that the Account Name will automatically appear in the Account Name cell next to it once you click the Save button.

Transaction Description
This is a mandatory field. The description line for a transfer has a maximum length of 28 characters. You may use the 28 characters to describe/identify the transaction on that specific line of the transaction. This description will also appear on the ledger on the same line as the transaction amount.

Temporary Transfer/Temporary FTE/Permanent Transfer Checkboxes:
At the top, right-hand side of the screen, there are three checkboxes - one for Temporary Transfer, one for Temporary FTE, and one for Permanent Transfer. You will see that when you try to check one of these, it always reverts back to its previous state. This is because the system will check these automatically when necessary. When you enter an amount in either the Temporary Debit or Temporary Credit column, upon saving the transfer the Temporary Transfer box will be checked. Likewise, if you enter Temporary FTE or a Permanent Credit or Debit, the corresponding box will be checked.

The system is designed to prevent you from entering a credit and a debit on the same line.

Explanation:
This is a mandatory field at the lower left corner of the screen. To input the explanation of the transfer, click on that box to place the cursor there. The explanation has a maximum length of 255 characters and the User will be warned if you have reached the maximum character length.

Saving the Transfer:
At any time while entering the transfer, you may save what you have already input simply by pressing the Save button. The information on the screen will be saved, and you will remain in this input screen. The first time you save the transfer, it will verify that all of the mandatory information has been entered, check the COA to verify location-account-fund-sub and give any error messages. The Error messages will appear in red. If all is correct it will assign a Transfer Number.

Add Line:
If the transfer is more than ten lines, you will need to click on Add Line, to let the browser know you are increasing the length of the transfer.

Print:
The print button at the bottom of the screen will allow you to print the transfer from all View/Create screens.

Copying a Transfer
This function is helpful if you do the same transfer year after year. Go to Processed Transfers and select the transfer you wish to copy. Select the transfer, then click on the

Copy button at the bottom of the screen. A copy of that transfer will be put into your New Transfer box. It will have a new transfer number on it, and will update to the current year. In the explanation box it will say THIS IS A COPY OF A PREVIOUSLY PROCESSED TRANSFER. You should delete this message and type in an appropriate explanation. If you choose to use the same explanation as the copied transfer, be sure to change any reference to fiscal year, if necessary.

Importing a New Transfer
On the Create Transfer screen, there is a button labeled Import. You may import details from a spreadsheet created in Excel or any other spreadsheet software that is saved as a Text (Tab Delimited) file. You may use this feature to create a New Transfer, or to add lines to an existing transfer. To use this feature, first create a spreadsheet with the information needed for the transfer. The columns on the spreadsheet should be ordered as follows:

Column A   Location
Column B   Account Number
Column C   Fund Number
Column D   Sub account Number
Column E   Transfer Description
Column F   Current Year Debit
Column G   Current Year Credit
Column H   Title Code
Column I   Temp FTE
Column J   Perm FTE
Column K   Permanent Year Debit
Column L   Permanent Year Credit

There should be no other information on the spreadsheet - i.e. no column descriptions or column totals. Also, check to make sure that there are no blank lines after the last line that contains transfer information. The spreadsheet needs to be saved in the form Text (Tab Delimited), not as an Excel worksheet or workbook. You may leave any of the fields on the spreadsheet blank when importing. If you have a transfer that will require another person to finish it by adding an account number or fund number, etc. leave the fields blank on the spreadsheet.

Once the spreadsheet is ready, proceed to the Create screen and press the Import
Details button. You will then receive the following screen:

TRANSFER OF FUNDS SYSTEM

UCSB Transfer of Funds

Browse a file to import from:

[   ] [Browse...]

[Import Details] [Cancel]

Click on Browse for the system to search your computer for all Text (Tab Delimited) files. Once you have selected the correct file click on Import Details.
Once the detail is put onto the transfer, you should click the Save button. All chart of account, description, explanation, dollar and FTE amount checks will be performed.

The necessary checkboxes at the top of the screen will be marked also. After the system has finished importing from the spreadsheet, fill in any additional information needed. You can modify any of the fields that have been imported, and you can add and delete lines if needed.

Modifying a Transfer
Only the User who created a line on a transfer can change that line. To modify a line or transfer, click on the Modify button at the bottom of the screen and make changes. Save the transfer.

Rejecting a Transfer
If you see a change that needs to be made on a line you did not input, you should Reject the transfer and return it to the User who has authority on that line. When you reject a transfer (the reject button is at the bottom of the screen) you will receive the following screen:

11

This screen will show you (via drop-down box) all Users (and their Departments) that have entered lines on the transfer. You should select which User needs to make a change and click on the Reject button at the bottom of the screen. You also have the option to send a message or e-mail to the person you have selected (see Sending a Message). The User will receive a message when they login that a transfer requires their attention.
To exit this screen, use the Back button.

The exception to not being allowed to change a transfer is that a small group of people has been given the authority to change transfers, as long as it falls under their Control Point. The main budget person in each control point (Academic Affairs, Student Affairs, Administration Services. Institutional Advancement and Office of Research) as well as the Budget Office may change a transfer. The Budget Office will notify these individuals and provide them with a unique code to be able to change transfers.
If a change is made to a line or transfer that you created, you will receive notification of the change when you first login to the system.

Forwarding a Transfer
The Forward function allows the transfer to progress through the system acquiring the necessary approvals needed before it can be processed. You can forward a new transfer you have created, a transfer sent to you for input or a transfer awaiting your approval.

To forward a transfer, select the transfer on the New Transfers, Awaiting Input or Awaiting Approval screens and Click the Forward button at the bottom of the screen.

You will get the following screen:

This screen will show you (via drop-down boxes) all Users and Departments that have access to the system. If you have already selected Forward To and Forward To Department in your User Preferences, the selection in the drop-down boxes will default to your selection. If you wish to Forward the transfer to someone else, use the drop-down boxes to select the person and department. You have the option of sending a message or e-mail to the person you are Forwarding the transfer to (see Sending a Message). To exit this screen, use the Back button.

Sending a Message
If you wish to send a message when you forward, reject or retrieve a transfer, you can do this from the Forward, Reject or Retrieve transfer screens. This message will then appear on the transfer (next to Explanation). The message will remain with the transfer, so make certain it pertains to this transfer only, and should be used only to indicate an account number to which the funds should be transferred. It is not necessary to use this function to inform a User as to what the purpose of the transfer is. That is already explained in the Explanation portion of the transfer.

You also have the option of having the system send an e-mail to the person to which you are forwarding or rejecting a transfer informing them that the transfer is there waiting for some type of action by them. This feature was included to alert people that do not regularly log on to the system that there is a transfer waiting that requires action. It is not necessary to send e-mail for every transfer you do. It would probably be best to ask the person to whom you are forwarding the transfer whether they need an e-mail reminder

when you send them a transfer(s). Again, there is no reason to use this function to explain what the transfer is about: that is apparent when the User views the transfer. Again, it is not necessary to do this for every transfer. This has been added for your convenience.

Awaiting Input
A User may send another User a transfer for input of additional lines. Generally, this is done when User #1 cannot input an account number, or if additional lines should be added to the transfer. You should do this by Forwarding the transfer, and use the Message function to let User #2 know what you need them to do. Once the receiver has input their data, they should Forward the transfer on for approval. A User will receive notification when they first login if they have a transfer Awaiting Input.

Approving a Transfer
Transfers sent to you for your approval can be found on the Awaiting Approval screen. You may only approve transfer lines that you have authority to approve. To review a transfer before approving, click in the circle prior to the transfer number, then click on the Approve button at the bottom of the screen. The entire transfer will then appear and you may approve the entire transfer by clicking in the square box left of the Account Name. Or, if approving only particular lines on the transfer, click in the circle and the transfer will appear on your screen. You may then select the individual lines you have authority to approve, or, if need be, reject the transfer to return it to the Preparer.

If you do not want to approve a transfer because it requires changes or should not be processed, click on the circle next to the transfer and then the Reject button at the bottom of the screen (see Modifying/Rejecting a Transfer above).

Once all departmental and control point approvals have occurred, the transfer is ready to be sent to the Budget Office for Final Approval.

Deleting A Transfer/Deleting Lines on a Transfer
To delete a transfer or a line on a transfer, click on the circle next to the transfer and hit the Delete button at the bottom of the screen. This will bring up the transfer on your screen. You may either select the entire transfer by clicking the box next to Account Name, or clicking on the individual lines of the transfer. Then click on the Delete button at the bottom of the screen again. You will then be asked if you are sure you want to delete the lines/transfer.

Retrieving an Unprocessed Transfer
If you have prepared or approved a transfer and have forwarded it on to someone else and then realize that you need to make changes, you may retrieve the transfer. To do this, go to the View screen and select the status Forwarded Transfers. Select the transfer that you wish to retrieve from the main table and press the Retrieve button at the bottom of the screen. The transfer will then appear in New Transfer or Awaiting Approval depending on your role in the system: Preparer or Approver.

If you wish, you may type a message and send the message as an e-mail to the User who you are retrieving the transfer from. Click on the Retrieve button to retrieve it or on the Back button if you decide not to retrieve.

Retrieving a Processed Transfer
If a transfer has already received Final Approval and has been input into the Financial Transaction Database (FTD) or the permanent Budget, you may add or adjust the transfer. Go to the Processed Transfer status. All transfers which have received Final Approval will appear on the screen. Click on the transfer you wish to make an addition to and it will be put into your New Transfer or Awaiting Approval box. The system will give you a message telling you where it is.

Once you open the transfer you will note that the lines that have already been processed have been locked. You may not change these lines. However, you may add additional lines to the transfer. Any new lines will need to go through the proper approvals. The new lines will be given the same transfer number as the previously processed lines. Therefore, one transfer may have lines appear in multiple ledgers. This feature is not possible between fiscal years (i.e. you may not add 2002-03 data to a transfer processed in fiscal 2001-02).

If you choose not to make additions to the transfer, you must send it back to the Budget Office in order for it to properly pass through the system (note: no entries will be seen on the ledger).

Tracking a Transfer through the System

You can easily follow the progress of any transfer that you create, add input or approve as it makes its way through the approval process. By selecting the status Forwarded Transfers on the View Screen you can determine where the transfer is. The In Box Of column on that screen will display the name of the person who currently has the transfer in their In Box. If that column reads "Processed," it means that the transfer has gained its final approval and has been input into the FTD and/or Budget. The View screen (as well as all screens) will display all months (July through Present). If you choose to limit your inquiries to specific months or year, use the drop-down boxes under Period to limit your choices.

Printing a Transfer
You can print a transfer from any screen in the system.
At the bottom of all screens is the Print button. If you click on this button the browser will open up Acrobat Reader and a copy of the transfer will appear on your screen. Select File, then Print. Or you can click on your Print icon.

To print multiple transfers at a time use the Search mode to display all the transfers you wish to print. Once the transfers are displayed on your screen, select the Print button at the bottom of the screen. You will then be asked if you wish to print all of the transfers. A response of OK will open Acrobat Reader. Select File, then Print. Only the first transfer will appear on the screen, but all of the selected transfers will print.

Searching Processed Transfers
You may Search for selected account numbers, fund numbers, subs or transfer number(s) by using the Search function. Go to Processed transfers for the period of time you wish to Search. Once the Processed transfers are displayed select the Search button on the bottom of the screen. This will bring up the 'Search Processed Transfers' screen. Here you can create/modify your own search criteria and save them. Click on the 'Done' button once you have selected your criteria. If you choose not to do the Search, click on the 'Back' button. Both will bring you back to the View screen. If you selected 'Done' only the transfers meeting your Search criteria will be displayed.

From the Search screen you can create multiple search criteria by transfer range, account range, fund range, and subaccount range. Save will save the current search criteria, and Clear will delete it. Use the > and < buttons to move around between search criteria.

Exporting Processed Transfers Information to a Spreadsheet
You may export most information contained in the TOF system to a spreadsheet file that can be read by most spreadsheet applications such as Excel. Using this, you can easily get information from the system for use in other reports.

To use the export function, you must be viewing Processed Transfers. Click on the Export button at the bottom of the screen. You will then get the following screen:

Export Selected Transfers

General Transfer Information

☐ Transfer Number

☐ Fiscal Year

☐ Transfer Date

☐ Originating Department

☐ Created By

☐ Ledger Date

☐ Explanation

☐ Temporary Total

☐ Permanent Total

Transfer Detail Information

☐ Account Name

☐ Location

☐ Account

☐ Fund

☐ Subaccount

☐ Description

☐ Temporary Debit

☐ Temporary Credit

☐ Title Code

☐ Temporary FTE

☐ Permanent FTE

☐ Permanent Debit

☐ Permanent Credit

Export   Back

Select each of the fields you would like to appear on your report by clicking the appropriate box. Once you have selected all the fields click on Export. You will get a dialogue box which will ask you where on your desktop you wish to have the file saved.

TRANSFER OF SOFT FUNDS SYSTEM

Table of Contents

TRANSFER OF SOFT FUNDS SYSTEM

Overview

Transfer of Soft Funds (TOSF) is an enhancement to the current Transfer of Funds System (TOF) where certain funds considered soft are used in making specific transfers. It eliminates the manual paperwork and replaces it with an on-line processing system.

How to identify soft funds? Soft funds are contracts, grants, gifts, endowments which are not permanently budgeted.

The Transfer of Soft Funds system is used to transfer funds between categories and accounts within the same fund number. Actual project needs may deviate from the proposed budget for contracts and grants. Transfer of funds should be prepared when:

1. Anytime funds are transferred from a sub not affected by F&A (Facilities & Administration) to a sub that is, or vice versa. *(see Exhibit A)*
2. Anytime funds are transferred between various accounts within the same fund number, then all subs affected by overhead will need the appropriate amount of F&A adjusted.
3. Anytime funds spent for object codes not subject to F&A (i.e. GSHIP 8570, Tuition Remission 8970, etc.) that vary from the amounts appropriated in the original budget. (*see Exhibit C)*
4. The budget should be adjusted if there will be either excess or deficit in the funds available for F&A.

Prior approval for rebudgeting may be required. The department is responsible to maintain the documentation if approval is required by the agency.   Prior approval may be required when:

1. Budget changes that are the result of a major change in the approved goals or objective of a project will usually require prior agency approval.
2. Purchase of general purpose equipment not listed in the budget usually requires prior agency approval.
3. Deviations that are significant from the line item budgets may require written agency approval.
4. Re-budgeting for foreign travel may require agency approval for awards not under Federal Demonstration Project (FDP).
5. Re-budgeting for agencies under FDP should follow the general terms and conditions.

-   Access to the TOSF is the same security groups as TOF *(see Page 2).*

-   The system will change from the TOF to the TOSF upon entering the system if the fund number entered is identified as a soft fund.

TRANSFER OF SOFT FUNDS SYSTEM

Overview (Continued**)**

- The system will help the users in preparing soft fund transfers. It will apply rules and make the necessary F&A (Facilities & Administration) calculations.

- The department will approve the transfer and submit directly to the Financial Transaction Database. Accounting will not review or approve the transfers.

- Budget transfers will be assigned a Type Entry 13.

- A TOSF cannot involve more than one soft fund per transfer.

- The loc-account-fund-sub used on the TOSF must be within the begin and end date of the award and not closed.

- The TOSF Current Year Debit and Current Year Credit amounts must balance.

- Description will be created by the system but the user is able to change the description (i.e.: To sub 6,4: Fr Sub 2,6,3,Y).

- Object codes will appear for F&A base codes that are excluded from F&A.

- The fund title will appear when the cursor is placed over the fund field.

TRANSFER OF SOFT FUNDS SYSTEM

Facilities & Administration (F&A)

- The system will create F&A (also known as Indirect Costs & Overhead) calculations automatically. The calculation F&A will be included in the transfer if the system identifies F&A is being assessed on the contract or grant.

- The system will validate the location, account, fund, and sub with the chart of accounts and read the current F&A base code.

- Certain F&A base codes do not generate F&A on specific sub categories (i.e. sub 4, equipment). *(see Exhibit A)*

- The current Base Code and Base Rate will appear when the cursor is placed over the sub field.

- Certain F&A base codes do not generate F&A on specific object codes (i.e. sub 6, 8970-Tuition Remission). The object code list will appear for the sub entered to select an object code budget that is to be excluded from F&A. The appropriate object code must be selected within the sub if no F&A is to be assessed on the budgeted amount (*see Exhibit C).* The object codes that are excluded from F&A for the specific Base Code will appear when the cursor is placed over the object code field.

- The F&A will be calculated for the debits and credits by the system.

- The net F&A amount will be rounded to the cents.

- When both debit and credit sides within a given loc-account-fund have the same amount and the net effect is zero in the F&A, the system will not include them in the transfer.

- The system will adjust the net F&A on the credit side when the transfer does not balance by looking for the first uneven F&A amount. The system will look to adjust the debit side the same way if it does not find an uneven amount on the credit side.

- The system will adjust the F&A when the credit and debit amounts are off by less than $1.

- F&A adjustments are calculated when the Calculate button or Save button is clicked on the Create, Modify, and Delete screens.

TRANSFER OF SOFT FUNDS SYSTEM

Contract/Grant Transfers

New Transfer: To create a New Transfer, click on the Contracts & Grants/Gifts & Endowments box and then click on the Create button.

The following screen will appear:

TRANSFER OF SOFT FUNDS SYSTEM

Enter Data: On the first row, enter the loc, account, fund, sub, amount, and object code if the F&A needs to be adjusted. The loc, account, and fund will automatically populate the fields when the cursor is on the second row and any additional rows.

- Place the cursor over the fund and the fund title will appear.
- Place the cursor over the sub and the current Base Code and Base Rate will appear.
- Place the cursor over the object code field and the object codes that are excluded from F&A for the specific Base Code will appear. The F&A will be adjusted on the budget transfer being prepared if an object code is selected.

(see Exhibit B: How to Compute F&A)

TRANSFER OF SOFT FUNDS SYSTEM

Calculate Button: This feature can be used after each credit or debit amount is entered or you can select it once all the amounts are entered. The system will provide the adjusted F&A amount either credit/debit necessary for the rebudgeted entries. It is encouraged to allow the system to calculate the F&A amount instead of entering the amount manually.

Current Debit	Current Credit	Cost Center	Cost Type	Project ID
488.00				
3,406.00				
1,258.00				
3,388.00				
1,500.00				
	540.00			
	9,500.00			
10,040.00	10,040.00			Calculate

Click on Calculate Button and the F&A amount will appear:

Account Name	Loc	Account	Fund	Sub	Object Code	Transaction Description	Current Debit	Current Credit	Cost Center	Cost Type	Project ID
MSI RESEARCH	8	448750	21191	2		To sub 6,4	488.00				
MSI RESEARCH	8	448750	21191	6	8970	To sub 6,4	3,406.00				
MSI RESEARCH	8	448750	21191	3		To sub 6,4	3,388.00				
MSI RESEARCH	8	448750	21191	5		To sub 6,4	1,500.00				
MSI RESEARCH	8	448750	21191	6		Fr sub 2,6,3,5,Y		540.00			
MSI RESEARCH	8	448750	21191	4		Fr sub 2,6,3,5,Y		9,500.00			
MSI RESEARCH	8	448750	21191	Y		To sub 6,4	1,258.00				
Add Line						Totals	10,040.00	10,040.00			Calculate

Explanation: (limit 255 characters)

24

Explanation: Enter the appropriate explanation why the transfer is being prepared and if agency approval has been received if required.

Save Button: This feature will retain the budget transfer in the "New Transfers" status and assign a unique tracking number. The budget transfer needs to be forwarded to the approver to be processed. Save feature can be used to place the transfer in a hold mode until the agency approval has been received or when it is appropriate to forward to the Approver.

TRANSFER OF SOFT FUNDS SYSTEM

Arrows Appear on Saved Transfer: The arrows will appear on the individual rows once you select the Save button. The arrows can be used to move rows up or down by clicking on the up/down arrow. The F&A (sub Y) appears on the last row in the screen shot on the previous page and it has been moved to appear below the last Debit row after sub 5. Click on the Save button again if rows are moved.

Forwarding a Transfer: See Page 12 of the manual for instructions to forward a transfer. The Contracts & Grants/Gifts & Endowment box must be selected to see the New Transfers.

Object Codes Titles: Place the cursor over the object code after the transfer has been saved and the title of the object code will appear.

TRANSFER OF SOFT FUNDS SYSTEM

Approving a Transfer: See Page 14 of the manual for instructions. Soft funds transfers will go directly into the Financial Transaction Database (FTD) once they are approved by the Department Approver. These transfers will not go to the control point or Accounting for approval.

Printing a Transfer: See Page 15 of the manual for instructions.

Transfer Number: This field is used to track budget transfers by the unique number assigned by the system.

Gifts/Endowments:

Gifts are assigned fund numbers 39800-56999 and Endowments are assigned 13000-13999 or 34100-39799. They are also considered soft funds since they are not permanently budgeted. These funds do not generate overhead. Follow the TOF section of the manual to process budget transfers for Gifts & Endowments.

Gift & Endowment budget transfers can be created in the TOF or TOSF screen. The system will revert to the TOSF screen once it is saved or forwarded.

Contract & Grant requirements and restrictions do not pertain to Gifts or Endowments.

TRANSFER OF SOFT FUNDS SYSTEM

EXHIBIT A: Base Codes That Exclude Subs from F&A

F&A Base Codes are set up to exclude F&A on specific subs. The following is a list of F&A Base Codes, the descriptions, and the subs that DO NOT generate overhead. *Note: Sub 8 (unallocated frozen) and sub Y (overhead) are not included in the table since the two subs are not applicable.*

Base Code	Description	Subs Not Generating F&A
A	Salaries	3, 4, 5, 6, 7
B	Total Direct Costs	
C	Salaries & Benefits Only	3, 4, 5, 7
D	No Overhead Charged	2, 3, 4, 5, 6, 7
E	Supplies & Expenses	2, 4, 5, 6, 7
F	Total Costs Except Sub 4	4
G	Stipends Only	2, 3, 4, 6, 7
J	MTDC* Excluding Sub 4	4
K	MTDC*(Includes Participant Support)	4
L	MTDC* Excluding Sub 4 & 7	4, 7
M	Salaries & Benefits Excluded	2, 6

*Modified total direct costs, consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first $25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant and subcontract). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, scholarship, and fellowships as well as the portion of each subgrant and subcontract in excess of $25,000.

TRANSFER OF SOFT FUNDS SYSTEM

EXHIBIT B: How to Compute F&A

How to Compute F&A

Example   The department receives agency approval to rebudget equipment. A transfer is created moving budget into equipment and career benefits.

Description	Sub	Object Code	Debit	Credit
Salaries	2		488.00	
Tuition/GSHIP	6	8970	3,406.00	
S & E	3		3,388.00	
Travel	5		1,500.00	
Career Benefits	6			540.00
Equipment	4			9,500.00
Overhead @ 26%	Y		1,258.00	
Totals			10,040.00	10,040.00

The F&A amount of $1,258.00 can be computed by the debit or credit side:

Debit Side: Base=J; Rate = 26%
    $10,040.00 (Total amount to be moved)
      3,406.00 (less object code excluded from F&A)
        540.00 (less amount with no F&A change)
    $ 6,094.00
          126% (Divide by 100% plus the F&A rate)
    $4,835.51   (Total Direct Costs)
          26% (Multiply by the F&A rate)
    $1,257.49 (Round up to $1,258.00)

Credit Side: Base= J; Rate = 26%
    $ 9,500.00 (No overhead charged on equipment)
      *3,406.00 (*less budget excluded from F&A from debit side)*
    $6,094.00
          126% (Divide by 100% plus the F&A rate)
    $4,835.51   (Total Direct Costs)
          26% (Multiply by the F&A rate)
    $1,257.49 (Round up to $1,258.00)

* Specific F&A Base Codes exclude some object codes from calculating F&A.
The table on the next page identifies the specific base codes, description, object codes excluded from F&A, and the sub where the object code is located.

TRANSFER OF SOFT FUNDS SYSTEM

Base Codes	EXHIBIT C: Object Codes Excluded from Facilities & Administration	Object Codes	Subs
	Description		
C	Grad Student Health Insurance	8570	6
C	Partial Fee Remission	8590	6
C	Tuition-Full Fee Remission	8970	6
J	Travel-Participant Support	2015	7
J	Rental of Space-Inter-dept	5000	3, 5, 7
J	Rental of Space-Off Campus	5100	3, 5, 7
J	Participant Support	7215	5, 7
J	Participant Support-Undergrad	7216	5, 7
J	Participant Support-Facilitators	7217	5, 7
J	3rd Party Costs Excluded from Overhead	7300	3, 5, 7
J	Grad Student Health Insurance	8570	6
J	Partial Fee Remission	8590	6
J	Tuition-Full Fee Remission	8970	6
K	Rental of Space-Inter-dept	5000	3, 5, 7
K	Rental of Space-Off Campus	5100	3, 5, 7
K	3rd Party Costs Excluded from Overhead	7300	3, 5, 7
K	Grad Student Health Insurance	8570	6
K	Partial Fee Remission	8590	6
K	Tuition-Full Fee Remission	8970	6
L	Rental of Space-Inter-dept	5000	3, 5, 7
L	Rental of Space-Off Campus	5100	3, 5, 7

TRANSFER OF SOFT FUNDS SYSTEM

Base Codes	Description	Object Codes	Subs
L	3rd Party Costs Excluded from Overhead	7300	3, 5, 7
L	Grad Student Health Insurance	8570	6
L	Partial Fee Remission	8590	6
L	Tuition-Full Fee Remission	8970	6