

# **Budget Allotment Module**

## **User Manual**



Office of State Budget and Management

September 2003



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## Accessing the budget allotment module

This budget allotment module allows agencies and OSBM to enter and submit allotment requests, to review and approve them, and to print the resulting official allotment statement. It also provides quarterly sums of requests and approvals by budget code. These functions are available for the General Fund and Highway Fund at this time; the Capital Improvement Fund will be implemented later. This module is part of the on-line budget systems that run under IMS on the mainframe Information Technology Services (ITS) computer.

Only those persons with the proper security clearance are allowed to access the allotment functions. The primary security is the RACF ID code provided by each agency's security administrator as part of the statewide security policy. OSBM also requires that users are listed in the OSBM security table and assigned a five-character identification code. The first two characters identify the agency and associated budget codes and are assigned by OSBM. The other three characters are usually the initials of the individual. The OSBM ID is associated with the RACF ID. Each agency has at least one person who is authorized to add new users to the OSBM security table. Agency budget officers can also request security clearance from the OSBM Help Desk by providing name, RACF ID, and agency. Passwords cannot be changed from the Allotment Module web logon page at this time.

There are two environments under which the allotment module is accessible: the World Wide Web or the mainframe IMS text-based environment. Both are interacting with the same mainframe programs and databases. The Web version has numerous help screens and pop-up error messages.

### Access using Web interface

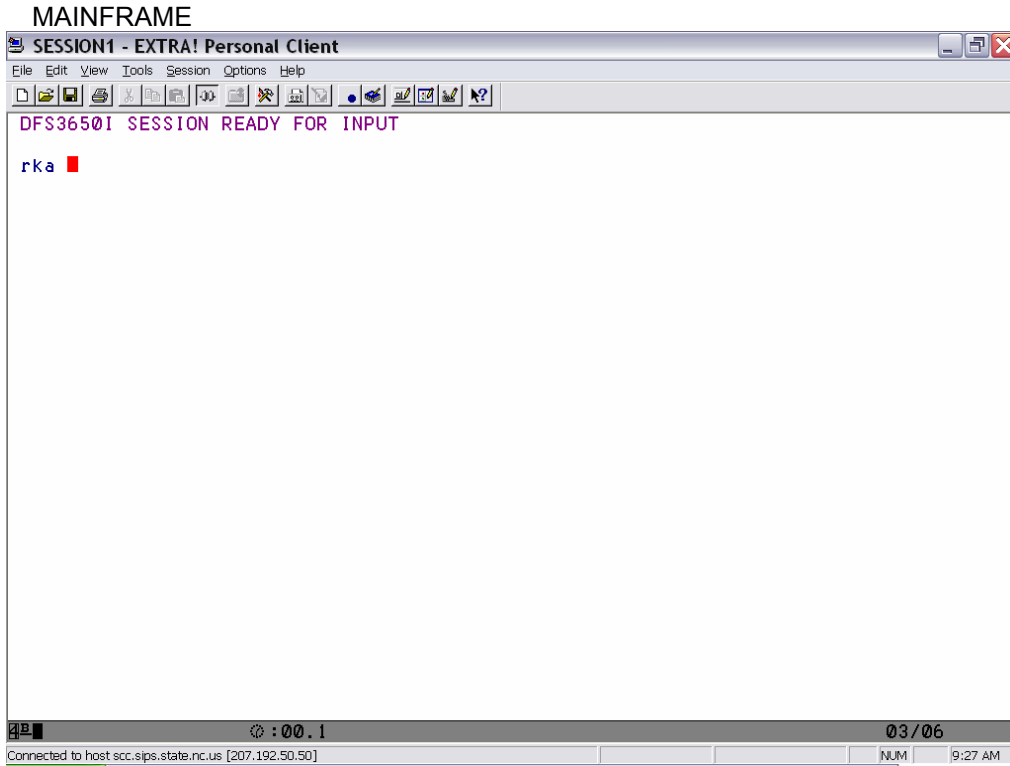
To use the Web, direct your Internet Explorer browser to <http://scca.its.state.nc.us:1200/neon/govhome.html> and choose "Allot Budget" from the left side menu. This application does not work with the Netscape browser. Do not use your local network identification code and do not check the box labeled "Remember my password". RACF passwords expire frequently and must be changed by the user.

#### WEB



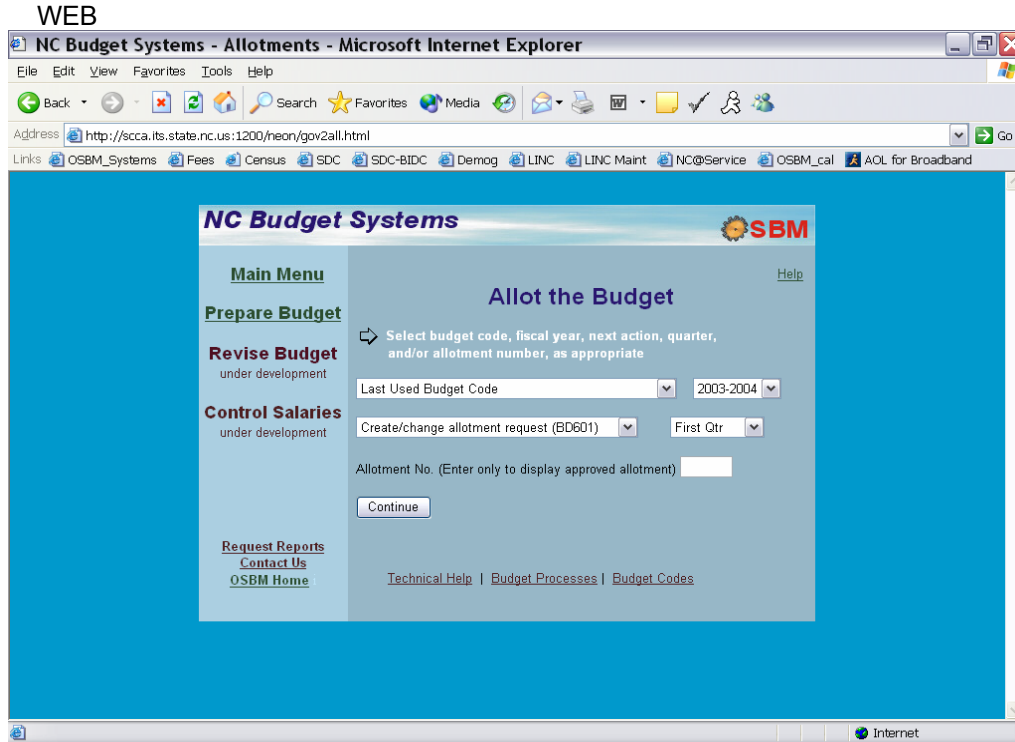
### Access using mainframe text-based interface

To use the mainframe, log onto IMS on the mainframe using your RACF UserID and password. At the prompt, DFS3650I SESSION READY FOR INPUT, enter "RKA " (note the space after the 3 letters).



## Choosing one of the allotment functions

There are 5 basic functions from the main menu of the allotment module plus some printing options. Although the main menus for the two environments appear quite different, the available functions execute in the same manner.



There are drop-down menus for all budget codes (default is code last accessed by the user), fiscal year, function, and quarter, as well as a text box for entering a specific allotment number. The 5 functions are:

Create/change/display allotment request (BD601)

This function gives a data entry screen if no allotment requests exist for the budget code. Otherwise, it gives a list of allotments with the option to create a new one or view an existing one. The activity log and text for the request can be viewed from this function. This list is a good way to look up allotment numbers for viewing the approved allotment form.

Display approved allotment (BD302)

After approval, an allotment is displayed by entering the allotment number. It gives a summary of approved allotment and quarterly totals and leads to a letter-type [print version](#).

Act on pending allotment requests

This function gives the list of a user's allotment requests that are pending action. Allotments can be approved or submitted from this function.

List all in a budget code, revised and current

This function lists all versions of all allotment requests for just one budget code. When OSBM makes a change to an allotment request, the submitted version is saved as an inactive version for historical purposes.

List/display by query, all budget codes.

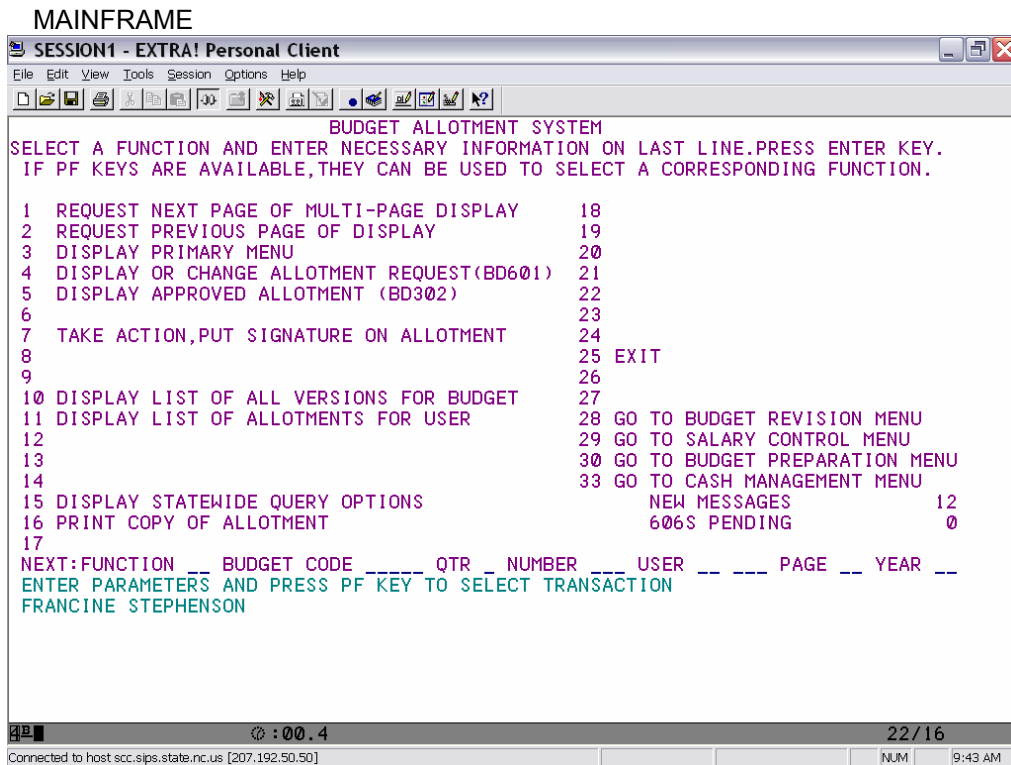
This function gives the opportunity to restrict time period and status of allotment list. It ignores budget code selected on main allotment menu and is helpful for

people responsible for multiple budget codes. It shows all budget codes for which the user has responsibility.

On the mainframe, these functions are listed as:

DISPLAY OR CHANGE ALLOTMENT REQUEST(BD601)	(function 4)
DISPLAY APPROVED ALLOTMENT (BD302)	(function 5)
TAKE ACTION,PUT SIGNATURE ON ALLOTMENT	(function 7)
DISPLAY LIST OF ALL VERSIONS FOR BUDGET	(function 10)
DISPLAY LIST OF ALLOTMENTS FOR USER	(function 11)
DISPLAY STATEWIDE QUERY OPTIONS	(function 15)
PRINT COPY OF ALLOTMENT	(function 16)

The last function listed for the mainframe, "PRINT COPY OF ALLOTMENT," is not shown as a function in the web list because it is handled on the web in several ways: a data print from the action to "Create/change allotment request (BD601)", an official statement in terse form as a result of the action to "Display approved allotment (BD302)", and a letter-type official statement available as a link off this second action.



An Allotment Number should be entered only to display an approved allotment (function 5), in which case, the budget code is ignored. Budget code is also ignored for the function " List/display by query, all budget codes" (Called "DISPLAY STATEWIDE QUERY OPTIONS" in the mainframe environment), because all budget codes are displayed in this function.

## Creating, changing or displaying an allotment request

Allotments are requested for a specific budget code, month, and year, for which the web page and the text-based IMS screen have input fields (the default budget code is the last one accessed). To create an allotment request, select the function "Create/change allotment request (BD 601)" as well as a budget code, a year, and a quarter. This is function 4 on the mainframe and the first action listed in the drop-down list on the web. The allotment number field is not needed, and if nothing is entered in the year and quarter fields, the default values of the first quarter and current year result.

Unless no allotments have been entered previously for the selected budget code, year, and quarter, the module returns a list of allotment requests already recorded. One of these can be selected by typing a non-blank character at the left side of the line, or a new request can be created by typing a character on the line next to the word "NEW" (see last row in each quarter).

WEB

GOVRKA03-Menu for Allotment - Microsoft Internet Explorer

Address: http://scca.its.state.nc.us:1200/neon/RKA03B?rk03budget=++++&rk03year=04&rk03function=04&rk03qtr=1&rk03number=

NC Budget Systems  
Office of State Budget and Management

Allotments - List by Quarter

Next page of list | Detail for marked item | Continue | Allotment Menu | Help

To scroll, click "Next page of list" and "Continue."  
To edit or display details, enter "X" in one box, click "Detail for marked item," and "Continue."  
To add a new allotment, select line in appropriate quarter where status is NEW.

Budget: 14480      DHHS-VOCATIONAL REHAB.-GENERAL      2003-2004      Page 01

	QTR	SEQ	ALLOT	STATUS	OWNER	DATE	REQUESTED	APPROVED
<input type="checkbox"/>	FIRST	001	011	FILED		07/01/2003	3,125,435	3,125,435
<input type="checkbox"/>	FIRST	002	117	FILED		08/01/2003	3,125,435	3,125,435
<input type="checkbox"/>	FIRST	003	207	FILED		09/01/2003	3,441,083	3,441,083
<input type="checkbox"/>	FIRST	004	000	NEW				
	TOTAL ALLOTTED APPROPRIATION FOR QUARTER						9,691,953	9,691,953
<input type="checkbox"/>	SECOND	001	291	FILED		10/01/2003	3,475,769	3,475,769
<input type="checkbox"/>	SECOND	002	000	NEW				
	TOTAL ALLOTTED APPROPRIATION FOR QUARTER						3,475,769	3,475,769
	TOTAL ALLOTTED APPROPRIATION FOR FISCAL YEAR							13,167,722

Clear

Done



# Allotment Module User Manual

MAINFRAME

SESSION1 - EXTRA! Personal Client

File Edit View Tools Session Options Help

BUDGET ALLOTMENT MODULE PAGE 01

BUDGET CODE 14480 DHHS-VOCATIONAL REHAB.-GENERAL 2003 2004

QTR	SEQ	ALLOT	STATUS	OWNER	DATE	REQUESTED	APPROVED
-	FIRST	001	011	FILED	07/01/2003	3,125,435	3,125,435
-	FIRST	002	117	FILED	08/01/2003	3,125,435	3,125,435
-	FIRST	003	207	FILED	09/01/2003	3,441,083	3,441,083
-	FIRST	004	000	NEW			
TOTAL ALLOTTED APPROPRIATION FOR QUARTER						9,691,953	9,691,953
-	SECOND	001	291	FILED	10/01/2003	3,475,769	3,475,769
-	SECOND	002	000	NEW			
TOTAL ALLOTTED APPROPRIATION FOR QUARTER						3,475,769	3,475,769
TOTAL ALLOTTED APPROPRIATION FOR FISCAL YEAR							13,167,722

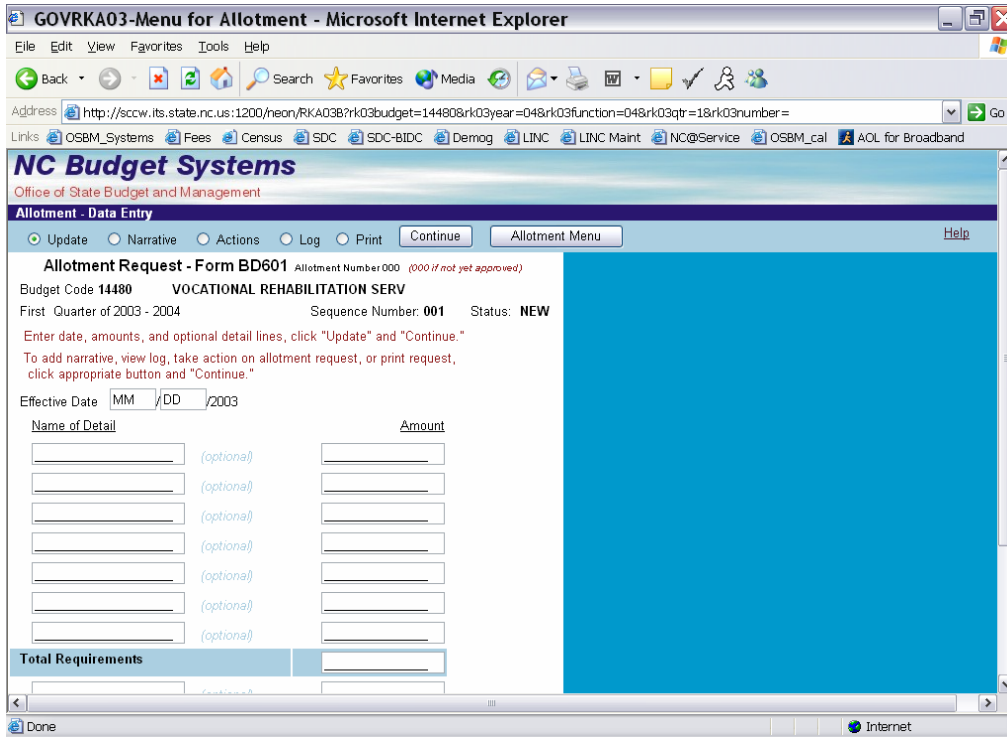
NEXT:FUNCTION \_\_ BUDGET CODE \_\_\_\_\_ QTR \_ NUMBER \_\_\_ USER \_\_ \_\_\_ PAGE \_\_\_ YEAR \_\_\_  
M4005 MARK YOUR SELECTED ALLOTMENT AT THE LEFT OF THE LINE  
M4006 PRESS THE ENTER KEY TO DISPLAY SELECTED ALLOTMENT

00.6 22/16

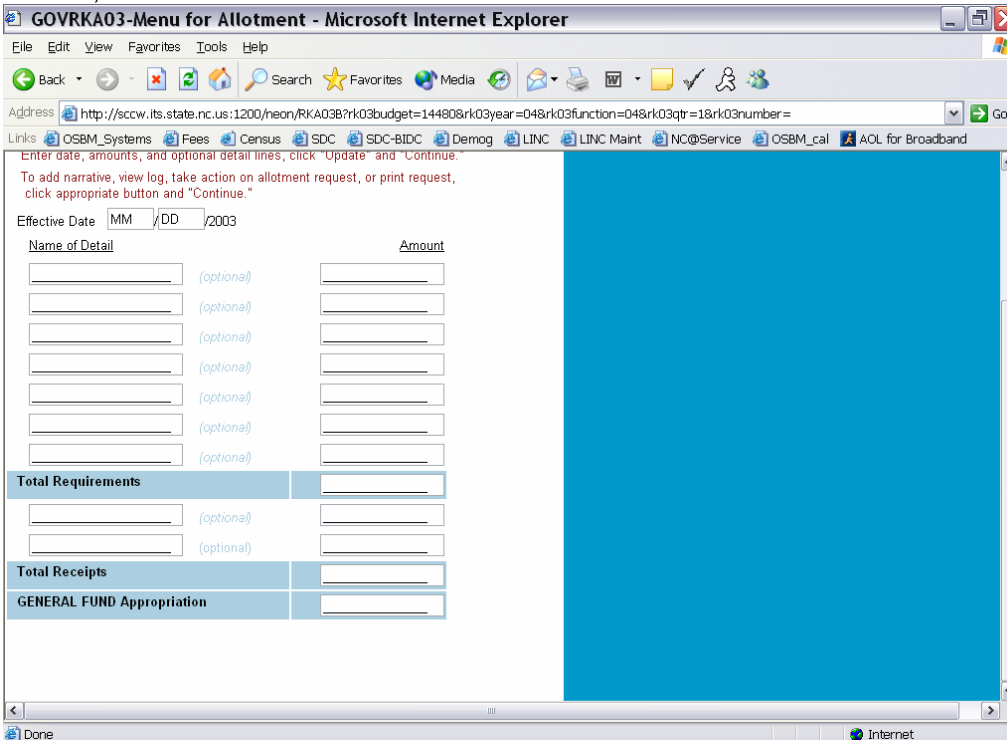
Connected to host scc.sps.state.nc.us [207.192.50.50] NUM 11:15 AM

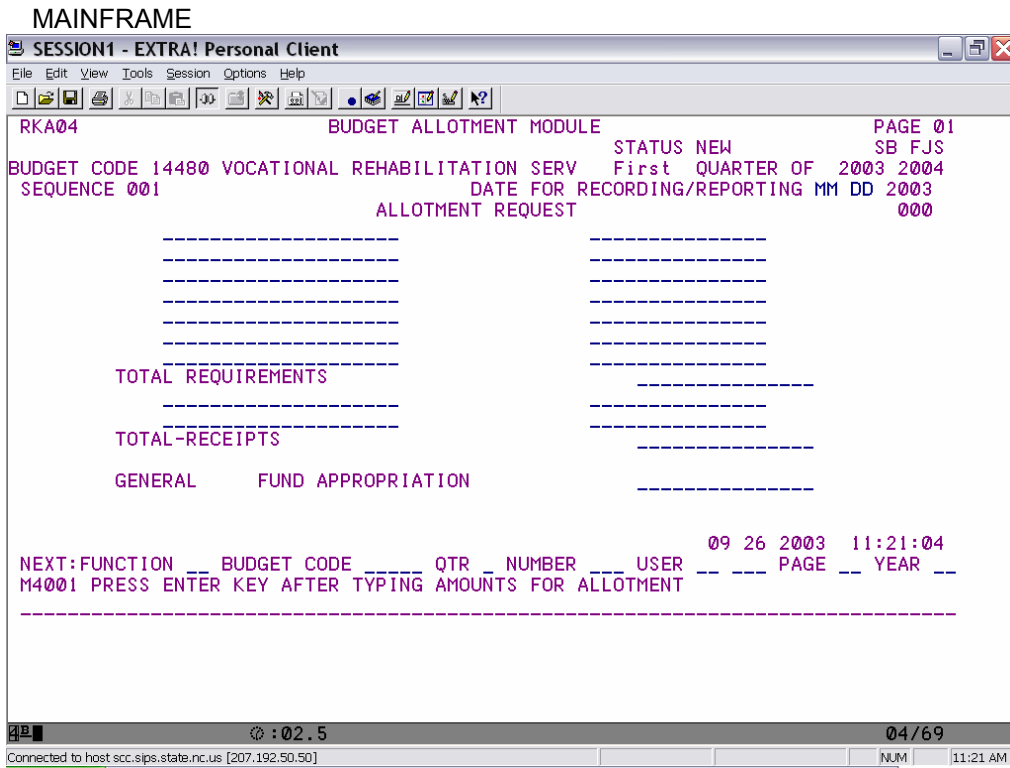
When an allotment is selected, the resulting screen is a data entry form. It shows what has already been entered or is blank if "NEW" was selected.

WEB



WEB, Continued

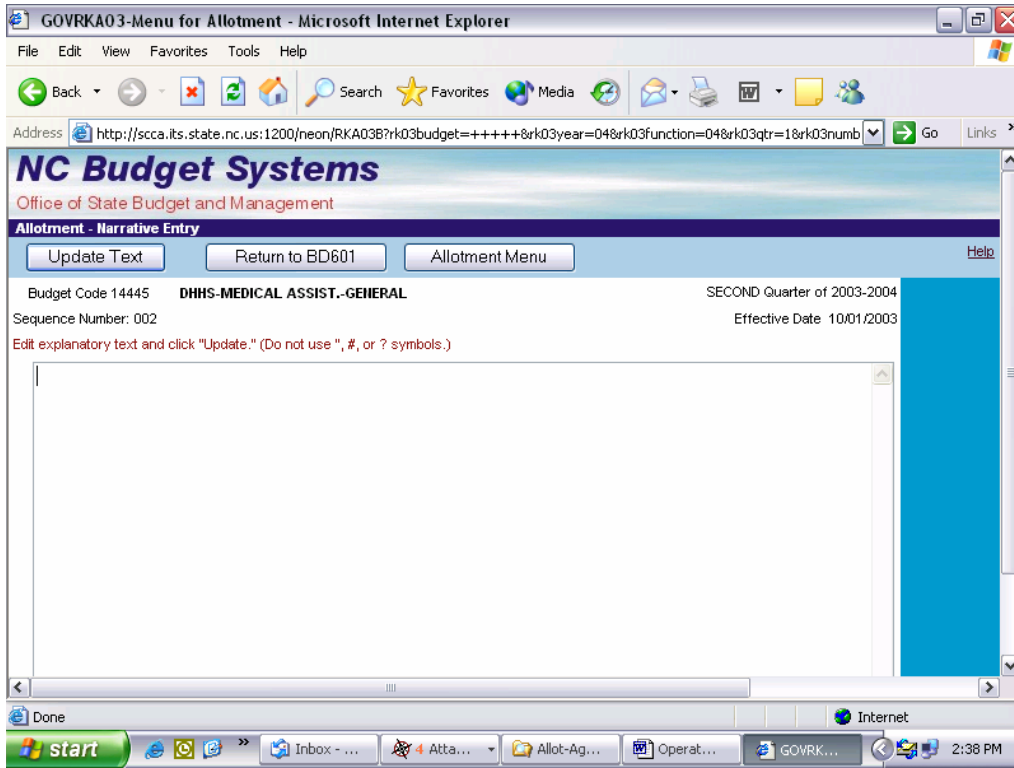




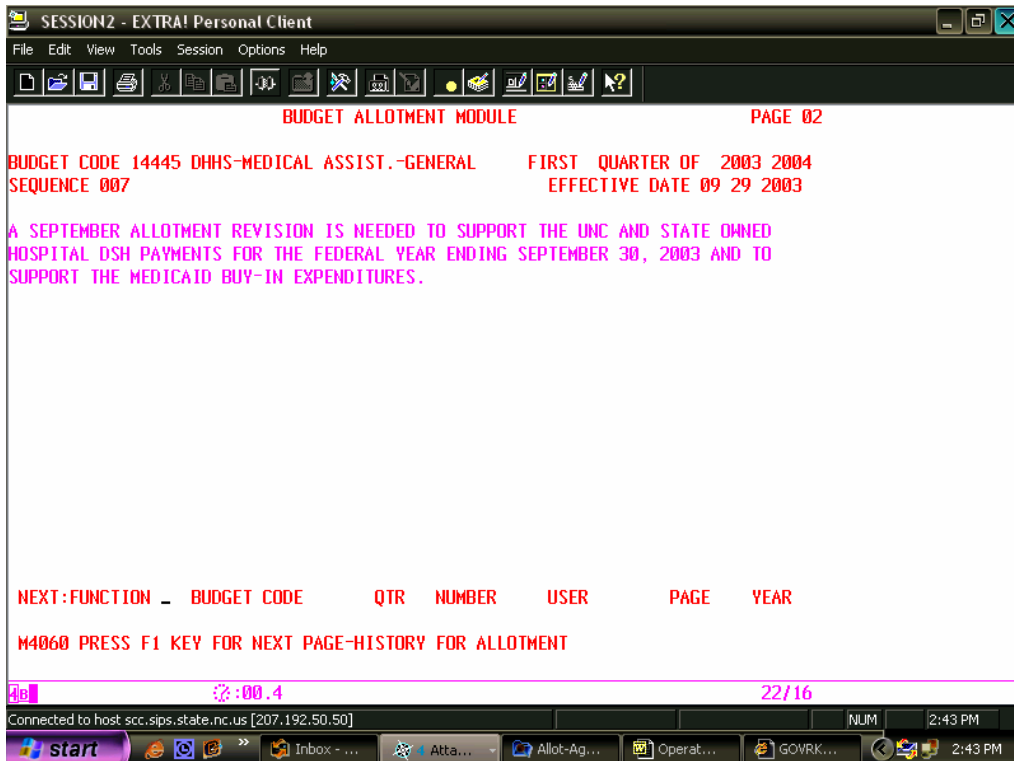
The required fields are date, requirement total, receipt total and appropriation total. Optionally, the requirements total or the receipts total can be subdivided by entering a description of the parts with the amount for each. The detail requirement lines must add up to the total requirements, and detail receipts must add to the total receipts. Requirement amount minus receipt amount equals appropriation amount. The date determines the monthly accounting period for reporting this allotment.

Narrative text can be entered for an allotment request. From the web data entry page, click on "Narrative" and "Continue"; from the mainframe screen press the F1 key to get the next page.

WEB



MAINFRAME

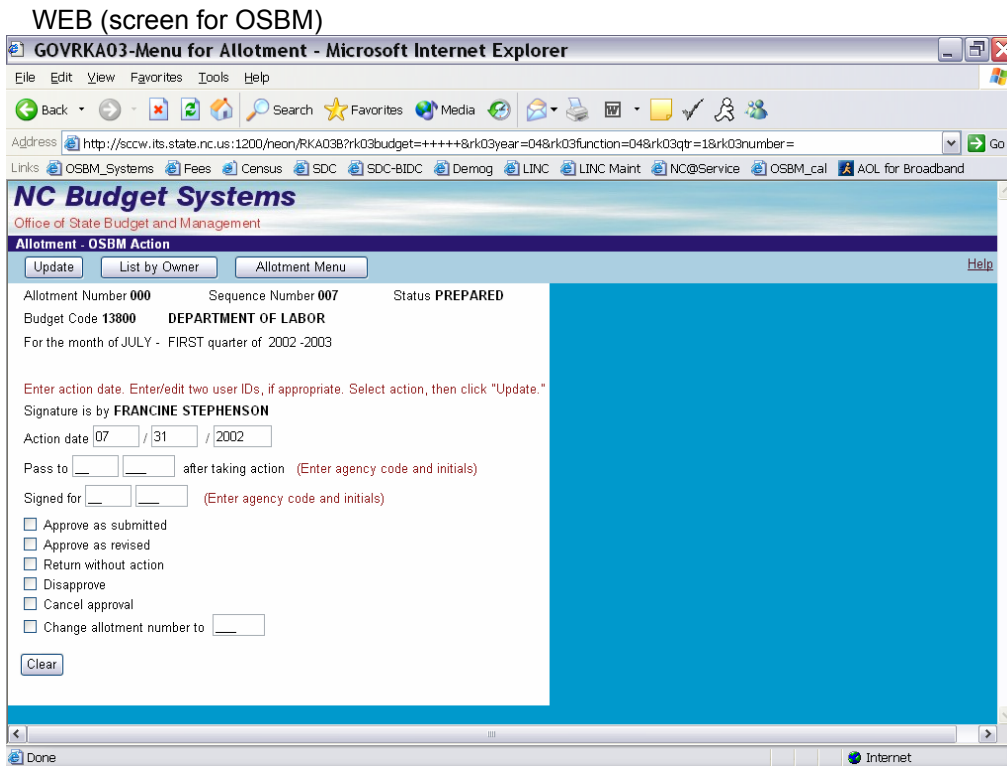


Click on "Continue" or press the ENTER key to record the narrative to the data base. The text is freeform and is limited to one page.

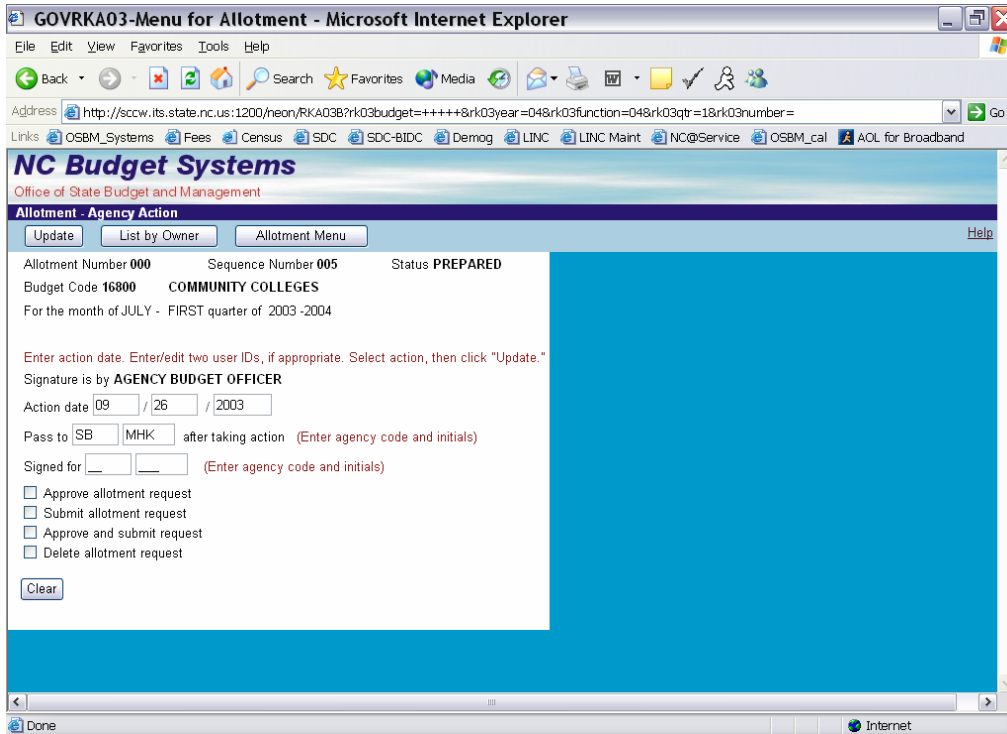
## Taking an action on an allotment

When function 7 (called "Act on pending allotment requests" on the Web and "TAKE ACTION, PUT SIGNATURE ON ALLOTMENT" on the mainframe) is selected from the main menu, a list is returned showing pending allotments if there is more than one allotment. If there is only one allotment, a list of options is sent. Depending on the user's authority, different screen formats are sent to show the available options. Agency users can approve an allotment and pass it to someone else before submitting it to OSBM. In the Web application, the approval screen can be reached from the main menu as well as from intermediate screens. The final approval date must be within the same month as the date on the allotment request, and can be backdated if necessary. Agency users can delete an allotment request document if it is owned by them.

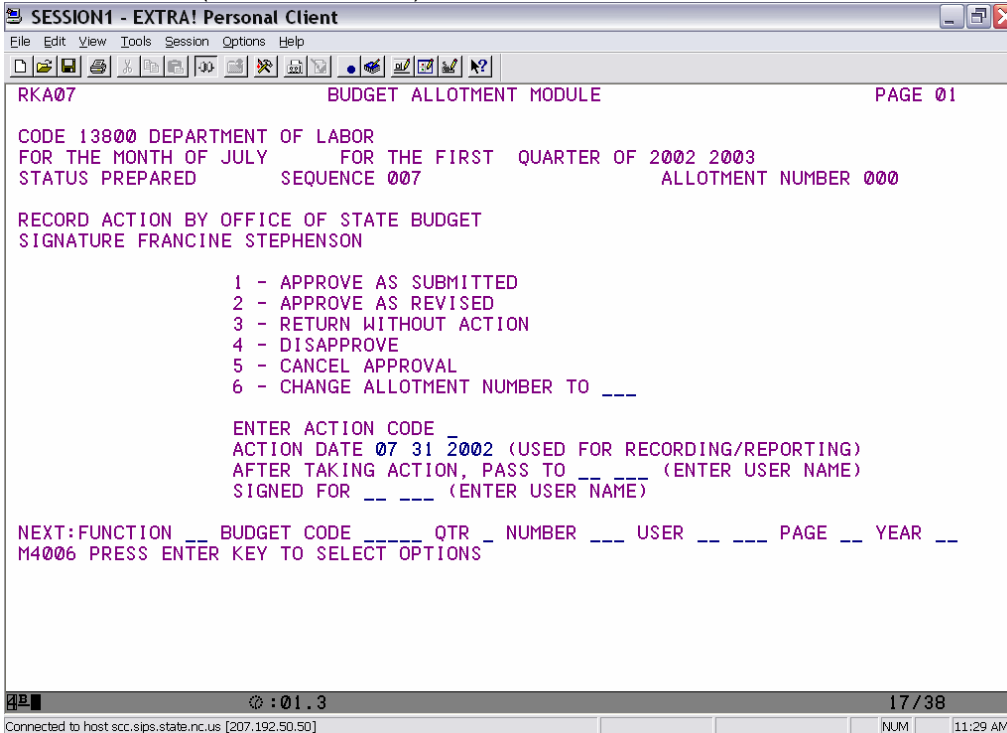
Occasionally, OSBM needs to make a change to an allotment document after it has been approved. The OSBM analyst can select the document by displaying the request, and then clicking on the "action" button or pressing the F7 key. OSBM should consider how the change will affect the posting to the Cash Management Control System if the change is not made on the same day as the approval.



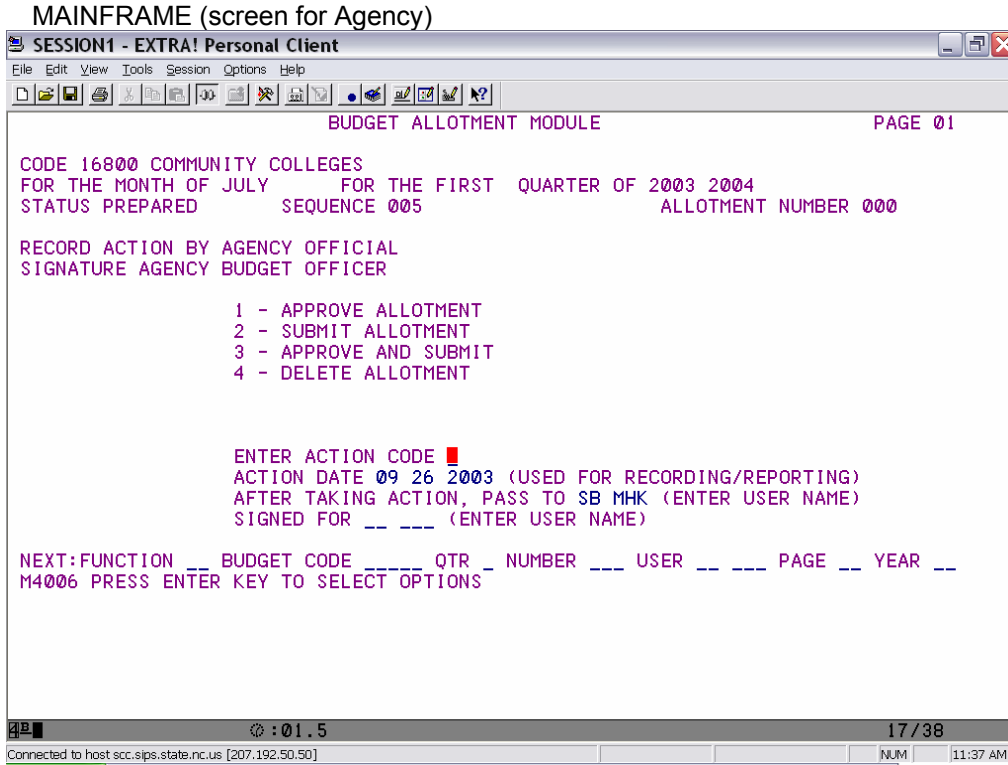
WEB (screen for Agency)



MAINFRAME (screen for OSBM)



# Allotment Module User Manual



## Printing an allotment

There are several print options available for the two allotment forms. When an allotment is approved by OSBM, an allotment number is assigned to the record. This number is sent to the agency with an approval notification e-mail message and is used to print or display the BD302 document. To view a printable version in either environment, use the function to display the approved allotment and enter the allotment number along with the year and quarter (the defaults for year and quarter will apply unless you change them). Do not enter a budget code. This print option does not work unless the allotment is approved.

WEB

GOVRKA03-Menu for Allotment - Microsoft Internet Explorer

Address: <http://scca.its.state.nc.us:1200/neon/RKA03B?rk03budget=++++&rk03year=04&rk03function=04&rk03qtr=1&rk03number=140>

NC Budget Systems  
Office of State Budget and Management

Allotment Statement

[print version](#) [Allotment Menu](#) [Help](#)

BD Form 302 Allotment No. **140**

Effective Date: AUGUST 01, 2003

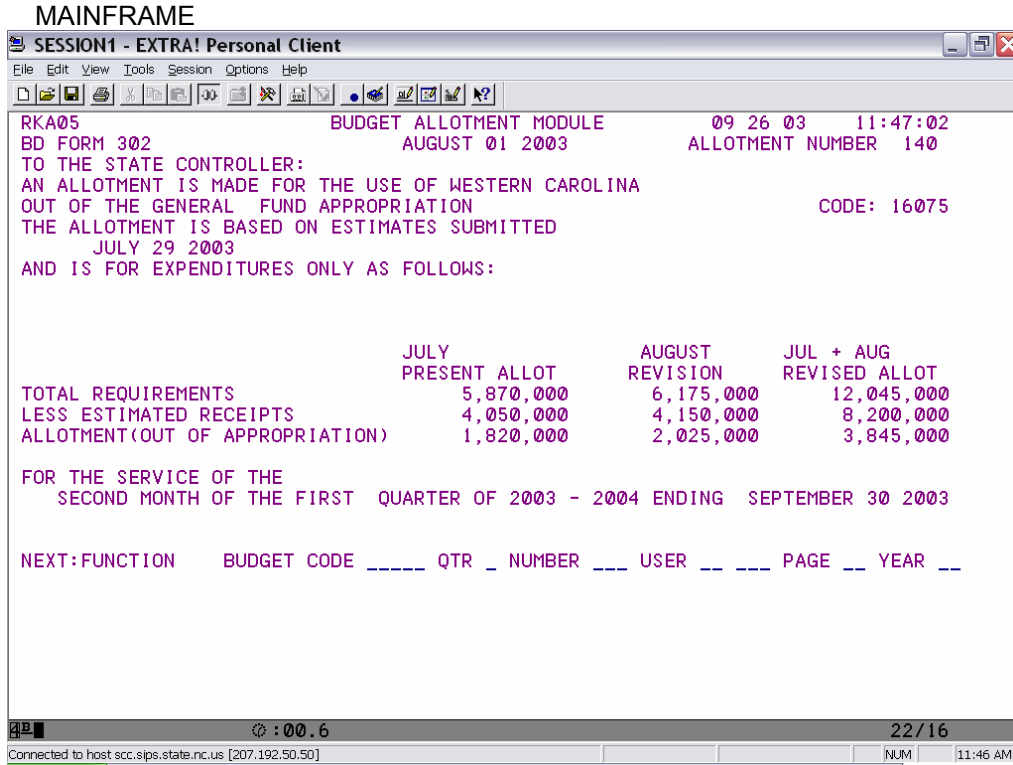
AN ALLOTMENT is made for the use of **WESTERN CAROLINA** out of the **GENERAL FUND** appropriation, budget code: **16075**.  
The allotment is based on estimates submitted JULY 29, 2003 and is for expenditures only as follows:

	JULY	AUGUST	JUL + AUG
	PRESENT ALLOT	REVISION	REVISED ALLOT
Total Requirements	5,870,000	6,175,000	12,045,000
Less Estimated Receipts	4,050,000	4,150,000	8,200,000
Allotment (Out of Appropriation)	1,820,000	2,025,000	3,845,000

For service of the SECOND month of the FIRST quarter of 2003 - 2004, ending SEPTEMBER 30, 2003.

Information from database on 09/26/03 11:42:31





The PRINT SCREEN key can be used to print this screen

Allotment Module User Manual

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In addition to the standard print of the approved allotment, the Web environment also offers a letter-type print, which is available by clicking on the "Print Version" link at the top left of the previous Web screen display. This click produces the following pop-up window.

WEB

BD Form 302

Allotment No. **140**



State of North Carolina  
Office of State Budget and Management  
20230 Mail Service Center  
Raleigh, NC 27699-0320  
26 SEP 2003

To the State Controller:

Effective Date: AUGUST 01, 2003

AN ALLOTMENT is made for the use of **WESTERN CAROLINA** out of the **GENERAL FUND** appropriation, budget code: **16075**.

The allotment is based on estimates submitted JULY 29, 2003 and is for expenditures only as follows:

	<b>JULY</b>	<b>AUGUST</b>	<b>JUL + AUG</b>
	<b><u>PRESENT ALLOT</u></b>	<b><u>REVISION</u></b>	<b><u>REVISED ALLOT</u></b>
Total Requirements	5,870,000	6,175,000	12,045,000
<u>Less Estimated Receipts</u>	<u>4,050,000</u>	<u>4,150,000</u>	<u>8,200,000</u>
Allotment (Out of Appropriation)	1,820,000	2,025,000	3,845,000

For service of the SECOND month of the FIRST quarter of 2003 - 2004, ending SEPTEMBER 30, 2003.

An allotment is for the service of the current quarter and at the end of the quarter any unexpended balance reverts to the appropriation from which made. Estimated receipts will credit to the allotment as realized. The allotment should be observed as a limit to total expenditures for the quarter; expenditure may be made only for the purposes and/or objects enumerated in the Appropriation Advice (the Department or Institutional budget) and within the amount available under each subhead.

**Authorized by the State  
Budget Officer**  
David McCoy

Information extracted from database on 09 / 26 / 03 11:46:40

Also, in the Web environment, from the screen for editing allotment data, a user may choose to print the allotment request (Form BD601). Any narrative description that has been entered concerning the allotment displays in the text box at the bottom. That print appears as follows:

WEB

Return to BD601

**Allotment Request - Form BD601** Allotment Number 192 (000 if not yet approved)

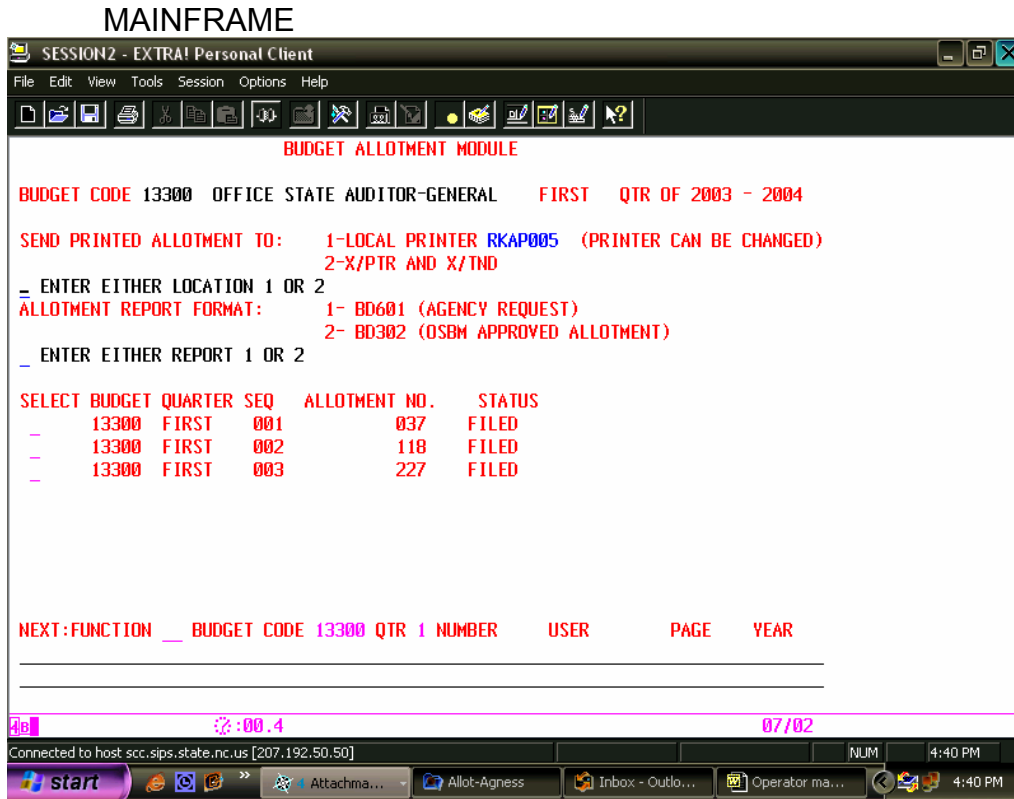
Budget Code **13510** **DPI-GENERAL**  
First Quarter of 2003-2004 Sequence Number: **008** Status: **FILED**  
Date for Reporting 09/01/2003

Name of Detail	Amount
DPI - DEPT	5,500,000
DPI - SPSF	557,000,000
<b>Total Requirements</b>	<b>562,500,000</b>
DPI - DEPT	2,850,000
DPI - SPSF	70,000,000
<b>Total Receipts</b>	<b>72,850,000</b>
<b>GENERAL FUND Appropriation</b>	<b>489,650,000</b>

APPROVED BY SARAH HARRIS 08/20/2003

Done Internet

From the mainframe, Function 16 can be used to print to a predefined printer. Choose option 1 for immediate printing. Use the second option to choose either the BD601 or the BD302 document format. All allotments for the requested budget code and quarter are listed, so that one can be chosen for printing. After making the three choices, press the ENTER key.



## Displaying a list of all allotment versions

When changes are made to allotments by OSBM, the original version is saved and a new sequence number is created. These old versions are saved for historical purposes, and can be viewed from a list. The status of an old version is REVISED-INACTIVE. This list is retrieved by using function 10 ("DISPLAY LIST OF ALL VERSIONS FOR BUDGET" on the mainframe and "List all in a budget code, revised and current" on the Web). See sequence no. 1 in the examples for a revised allotment.

WEB

The screenshot shows a Microsoft Internet Explorer window titled "GOVRKA03-Menu for Allotment". The address bar shows the URL: <http://scca.its.state.nc.us:1200/NEON/RKA03B?rk03budget=&rk03function=07>. The page content includes the following table:

BUDGET	QTR	SEQ	ALLOT	STATUS	OWNER	DATE	REQUESTED	APPROVED
13510	FIRST	001	000	REV-INACTI	SBEPC	07/01/2003		
13510	FIRST	002	019	FILED		07/01/2003	30,000,000	30,000,000
13510	FIRST	004	040	FILED		07/01/2003	32,000,000	32,000,000
13510	FIRST	005	052	FILED		07/01/2003	260,500,000	260,500,000
13510	FIRST	006	096	FILED		07/29/2003	14,000,000	14,000,000
13510	FIRST	007	130	FILED		08/01/2003	488,200,000	488,200,000
13510	FIRST	008	192	FILED		09/01/2003	489,650,000	489,650,000

# Allotment Module User Manual

MAINFRAME

SESSION1 - EXTRA! Personal Client

File Edit View Tools Session Options Help

RKA10 BUDGET ALLOTMENT MODULE PAGE 01  
BUDGET CODE 13510 DPI-GENERAL 2003 2004

BUDGET	QTR	SEQ	ALLOT	STATUS	OWNER	DATE	REQUESTED	APPROVED
- 13510	FIRST	001	000	REV-INACTI	SBEFG	07/01/2003		
- 13510	FIRST	002	019	FILED		07/01/2003	30,000,000	30,000,000
- 13510	FIRST	004	040	FILED		07/01/2003	32,000,000	32,000,000
- 13510	FIRST	005	052	FILED		07/01/2003	260,500,000	260,500,000
- 13510	FIRST	006	096	FILED		07/29/2003	14,000,000	14,000,000
- 13510	FIRST	007	130	FILED		08/01/2003	488,200,000	488,200,000
- 13510	FIRST	008	192	FILED		09/01/2003	489,650,000	489,650,000

NEXT:FUNCTION \_\_ BUDGET CODE \_\_\_\_\_ QTR \_ NUMBER \_\_\_ USER \_\_\_ PAGE \_\_\_ YEAR \_\_\_  
PRESS ENTER KEY AFTER SELECTING ALLOTMENT TO VIEW  
USE FUNCTION 7 TO SUBMIT ALLOTMENT REQUEST TO OSBPM.

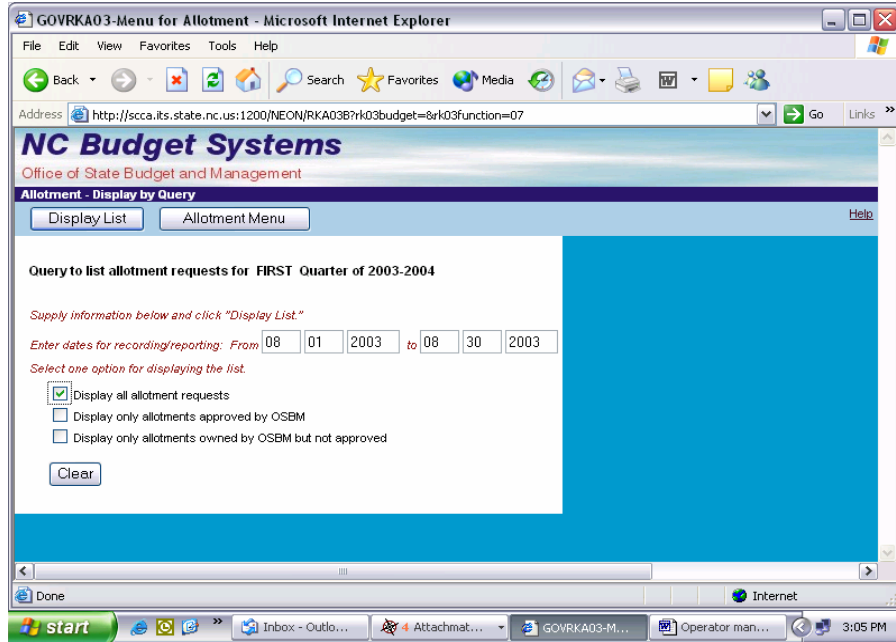
22/16

Connected to host scc.sips.state.nc.us [207.192.50.50] NUM 1:24 PM

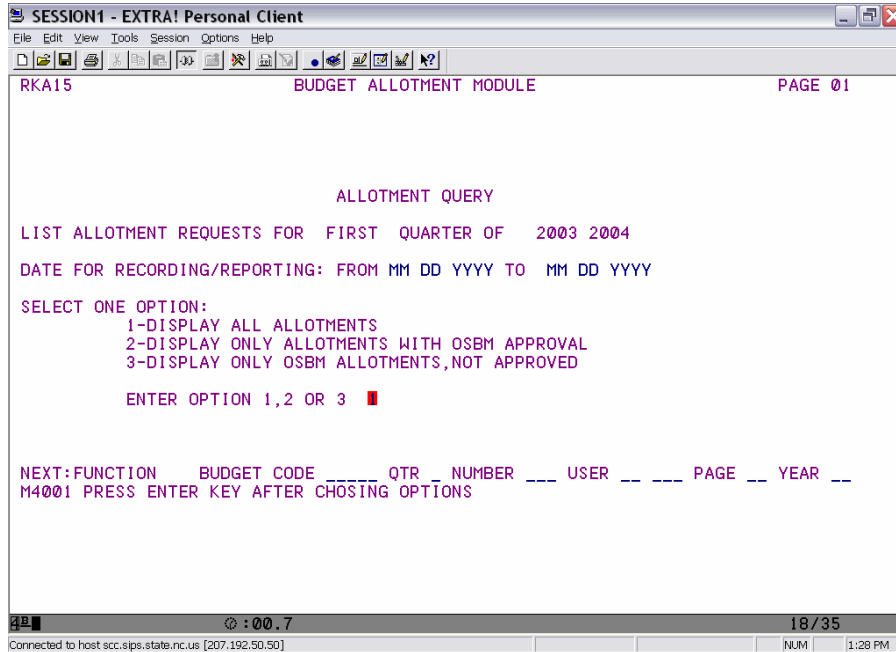
## Displaying a list by query

If a user has access to more than one budget code, the query function is useful. For example, it can be used to show all allotments for a particular month regardless of whether they are approved. This function is invoked from the main menu as function 15, "DISPLAY STATEWIDE QUERY OPTIONS" on the mainframe, or "List/display by query, all budget codes" on the Web.

### WEB



### MAINFRAME



The lists produced by the request for a query appear as follows:

WEB

GOVRKA03-Menu for Allotment - Microsoft Internet Explorer

Address: http://scca.its.state.nc.us:1200/NEON/RKA03B?rk03budget=&rk03function=07

### NC Budget Systems

Office of State Budget and Management

#### Allotments - Query Results

Next page of list | Detail for marked item | Continue | Allotment Menu | Help

To scroll, use scroll bar or click "Next page of list" and "Continue."  
To edit or display details, enter "X" in one box, click "Detail for marked item," and "Continue."

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BUDGET	QTR	SEQ	ALLOT	STATUS	OWNER	DATE	REQUESTED	APPROVED
11000	FIRST	003	115	FILED		2003/08/01	3,833,000	3,833,000
12000	FIRST	003	110	FILED		2003/08/01	25,500,000	25,500,000
12001	FIRST	004	111	FILED		2003/08/01	7,000,000	7,000,000
12001	FIRST	005	129	FILED		2003/08/01	3,000,000	3,000,000
13000	FIRST	005	147	FILED		2003/08/01	391,430	391,430
13005	FIRST	002	148	FILED		2003/08/01	343,780	343,780
13010	FIRST	002	175	FILED		2003/08/01	395,833	395,833

MAINFRAME

SESSION1 - EXTRA! Personal Client

BUDGET ALLOTMENT MODULE PAGE 01

2003 2004

BUDGET	QTR	SEQ	ALLOT	STATUS	OWNER	DATE	REQUESTED	APPROVED
11000	FIRST	003	115	FILED		2003/08/01	3,833,000	3,833,000
12000	FIRST	003	110	FILED		2003/08/01	25,500,000	25,500,000
12001	FIRST	004	111	FILED		2003/08/01	7,000,000	7,000,000
12001	FIRST	005	129	FILED		2003/08/01	3,000,000	3,000,000
13000	FIRST	005	147	FILED		2003/08/01	391,430	391,430
13005	FIRST	002	148	FILED		2003/08/01	343,780	343,780
13010	FIRST	002	175	FILED		2003/08/01	395,833	395,833
13017	FIRST	002	149	FILED		2003/08/01	0	0
13085	FIRST	002	150	FILED		2003/08/01	1,080,258	1,080,258
13100	FIRST	002	104	FILED		2003/08/01	50,144	50,144
13200	FIRST	002	116	FILED		2003/08/01	651,368	651,368
13300	FIRST	002	118	FILED		2003/08/01	1,000,000	1,000,000
13412	FIRST	002	120	FILED		2003/08/01	417,000	417,000
13412	FIRST	003	186	FILED		2003/08/01	68,179	68,179

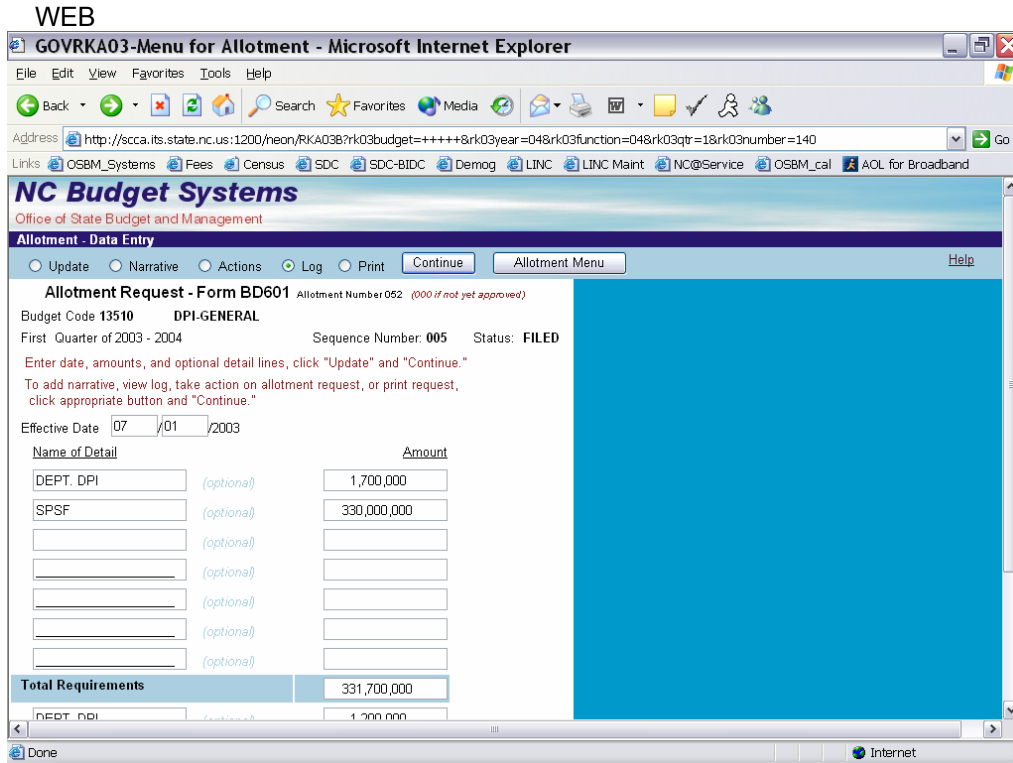
NEXT:FUNCTION BUDGET CODE QTR NUMBER USER PAGE YEAR

Connected to host scc.sips.state.nc.us [207.192.50.50] 22/16 1:33 PM

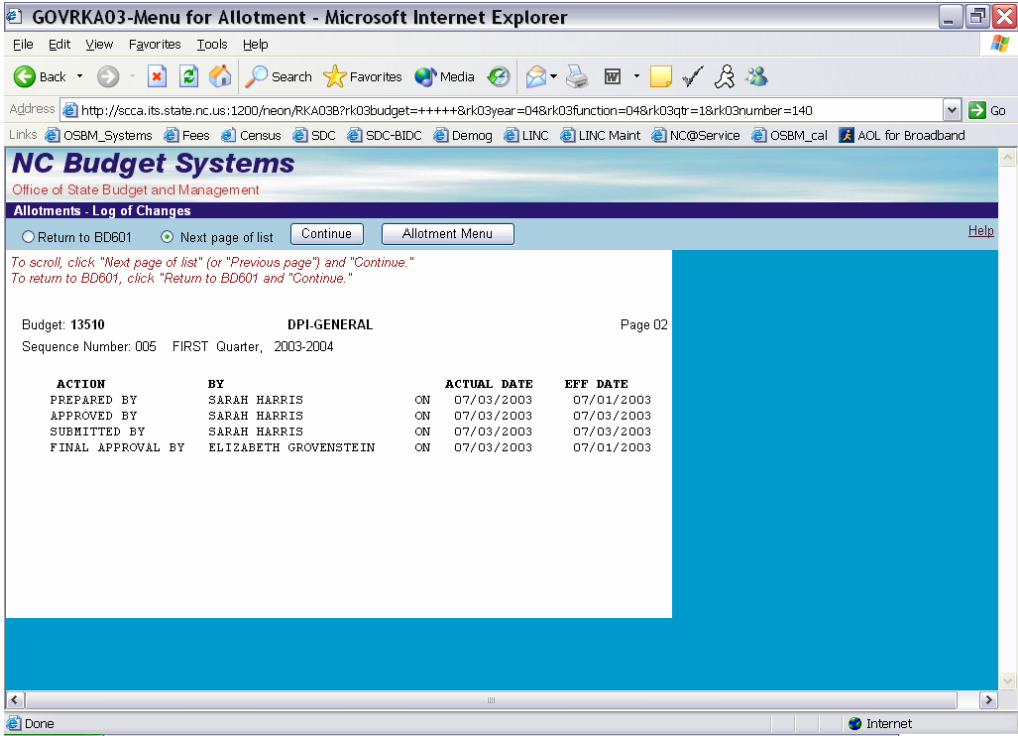


## Displaying log of actions on an allotment request

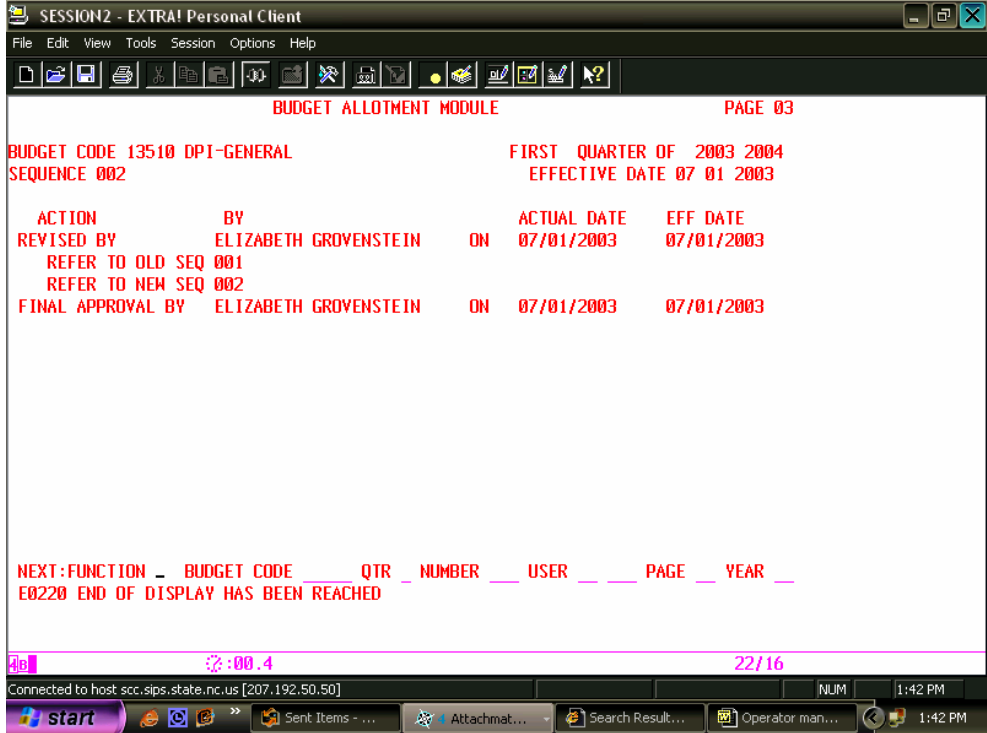
In the Web environment, from the data entry screen (which may also be used to review previously entered data), a user may click on the button "Log" to review a history of actions taken on a particular allotment request. From the mainframe display screen, the F1 key is pressed to display the next page.



Resulting screen:  
WEB



MAINFRAME



## Exiting the allotment module

To exit the system, return to the main menu. In the Web environment, return further to the main budget systems menu and click the "Logoff" button on the left of the screen. For the mainframe, enter the command /RCL or close window. Alternatively, in either case, you may choose to work in another budget module rather than logging off completely.

## Allotment Process

Historically, allotments were requested once per quarter and funds were reverted to the General Fund and Highway Fund at the end of the quarter. When availability of statewide cash is a problem, the OSBM requires allotments at more frequent time intervals.

Prior to the beginning of each allotment period, the agency staff creates an allotment request (BD601) and submits it to the proper OSBM analyst. The system creates a notification message for the request and sends it to the OSBM analyst. The OSBM analyst reviews the allotment request, makes adjustments if necessary, and approves the allotment amount. The system creates a notification message for the approval and sends it to the agency staff. These messages are forwarded through e-mail if the e-mail address is recorded in OSBM security tables. The agency can use the appropriate allotment number to print the approved document. Overnight, the system creates a report of the approved allotments (BD302) for that day and stores it in X/PTR and X/TND under the report name /GOV/RKA/RK456. OSC prints the approved documents the next morning and posts the allotment amounts to the Cash Management Control System. All revisions to allotments are created as new allotment requests. The system calculates the quarterly totals when displaying or printing the documents. There can be one or many allotments processed for a budget code during a quarter.

The system assigns two numbers to allotment documents. Within each budget code and quarter, there is a set of sequence numbers so that the system can have a unique identifier for each document. If an agency deletes a document, there will be gaps in the list of sequence numbers, but that is normal. The system also assigns the allotment numbers as allotment requests are approved by OSBM. There is one set of these numbers for the entire General and Highway Fund for a fiscal year. There should not be any gaps in these assigned numbers. If approval is removed from an allotment for some reason, the allotment number remains assigned to it. The allotment should be reapproved after changes are made to the allotment request.

The allotment document has different status codes as it goes through the process: new, prepared, approved (agency approval), submitted, and filed (final OSBM approval). The status and ownership of each document determine whether or not changes or actions can be accomplished.

## Operation Considerations

The allotment functions are available Monday through Friday from 7:00 am until 9:00 pm, Saturday from 7:00 am until 5:30 pm, and Sunday from noon until 5:30 pm. For technical help, you can call Agness Gunter or Sue Farr at 733-7061 or send an e-mail to [Help-OSBM@ncmail.net](mailto:Help-OSBM@ncmail.net).