
End-User Training Guide

Course Code: FIN 207

**Course Title: Manage Budget Exceptions
(Department) Training Guide**

Course Overview

Course Description	<p>This course provides a comprehensive review of the Manage Budget Exception processes.</p> <p>This course consists of the following modules:</p> <ul style="list-style-type: none">• Module 1: Course Introduction• Module 2: Manage Budget Exceptions• Module 3: Course Summary
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Training Audiences	<p>The following audience(s), by INFORMS Security role(s), are required to complete this course before being granted related system access:</p> <ul style="list-style-type: none">• Central Appropriation Processor• Department Appropriation Processor
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Prerequisites	<p>Participants are required to complete the following End-User Training courses before starting this course:</p> <ul style="list-style-type: none">• ERP 101 – Overview of INFORMS• ERP 102 – INFORMS Navigation, Reporting and Online Help• FIN 101 – Financials Fundamentals• FIN 206 – Enter and Process Budget Journals (Department)
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Delivery Method	<p>This course is intended to be delivered through Instructor-led Training.</p>
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Estimated Duration	<p>The total duration of this course, when delivered through Instructor-led Training, is 2 hours.</p>
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Module 1: Course Introduction

Topics

Managing Budget Exception discusses how to handle exceptions when some transactions fail the budget checking process or cause the budget checking process to issue a warning. The Budget Processor uses a set of pre-defined rules to determine whether a transaction should pass the budget and will be described in detail later in the course.

It provides information on handling this exception, depending on its nature, troubleshooting the budget check errors.

This module covers the following topics:

- Course Administration and Logistics
- Learning Objectives
- Roles and Responsibilities
- Navigation
- Key Changes to Business Process
- End-to-End Business Process
- Introduction to Demonstrations and Exercises

Module 1: Course Introduction

Course Administration and Logistics

To get the most benefit from this course, participants should:

- Actively participate in class and ask questions as needed
- Please turn off cell phones and refrain from the use of email and the Internet
- Take breaks as scheduled and return to the classroom promptly

Module 1: Course Introduction

Learning Objectives

At the conclusion of this course, participants will be able to:

- Identify the End-to-End Processes of Managing Budget Exceptions
- Troubleshoot Budget Check Errors

Module 1: Course Introduction

Training Audience:

The following roles are associated with this course and will play a part in conducting the related business processes for the County:

Roles and Responsibilities

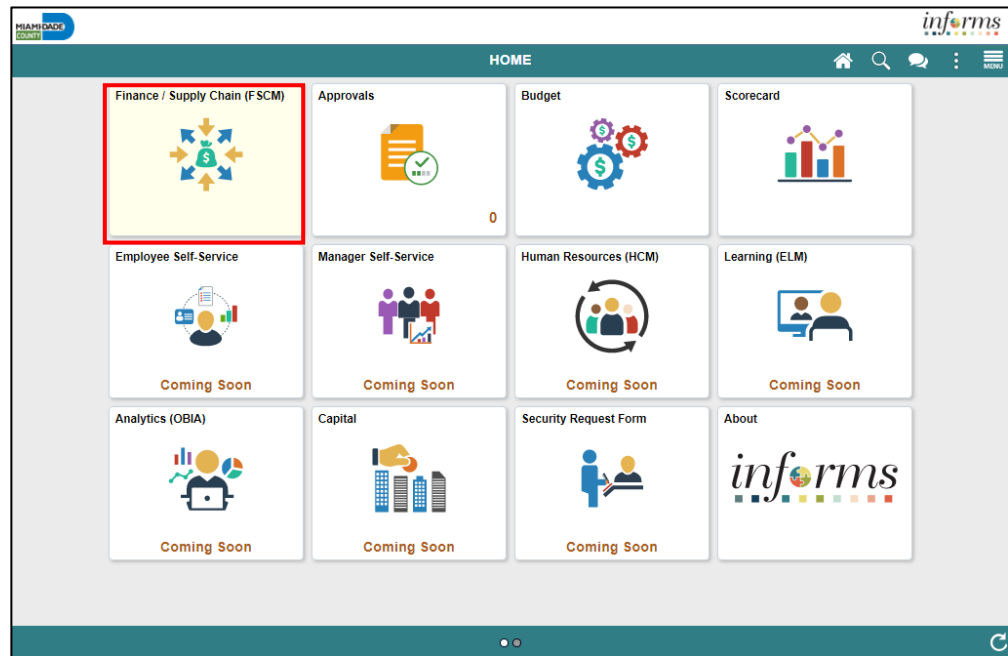
- **Central Appropriation Processor:** The Central Appropriation Processor has the ability to create Countywide controlling budget journals. This user also has access to view Appropriation transactions interfaced from Hyperion.
- **Department Appropriation Processor:** The Department Appropriation Processor is responsible for the creation of a budget journal to request or transfer budget for the department.

Module 1: Course Introduction

Navigation

Below are the steps to navigate to General Ledger, which will be used for navigation in the rest of this course:

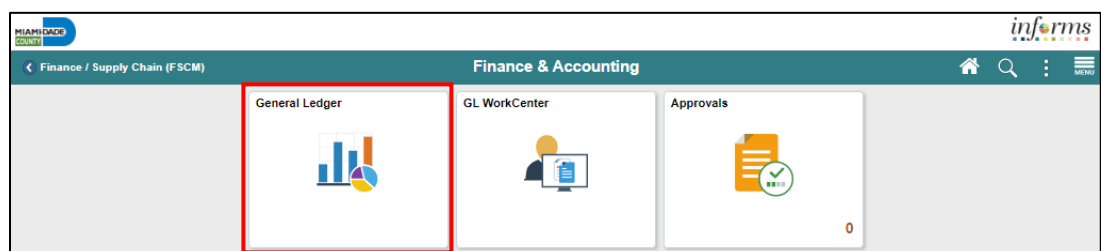
1. Login to INFORMS and select **Finance/ Supply Chain (FSCM)** from the home landing page below.



2. Select **Finance & Accounting**.



3. Select **General Ledger**.



Module 1: Course Introduction

Key Changes to Business Process

The purpose and benefits of the Managing Budget Exception business process include:

- Handling Budget Exception through:
 - Changing Transactions
 - Adjusting Budgets
 - Overriding the budget checking process using Budget Attributes
 - Viewing and noting exceptions
 - Correcting errors

Module 1: Course Introduction

End-to-End Business Process

CHARTFIELD REQUEST Business Process

- Department requests the Chartfield (Department, Account, Fund or Grant)
- Central Finance approves the Chartfield request.



The Commitment Control or budget checking ensures that Revenue and Expense Accounts meet the requirements of the applicable commitment control ledger. This is based on the Fund and Department, to ensure budgets are not exceeded. The following are the Commitment control ledgers that will be deployed:

Ledger Group	Control Option	Type	Comments
A_DETAIL	Track w/o	Exp	Annual budget including Grants
A_APPROP	Control	Exp	Annual roll-up based on Accountability Ordinance, roll up Department and Fund
A_REV	Track w/o	Rev	Annual Revenue
M_CAPDTACT	Track w/o	Exp	Capital Projects
M_CAPDTL	Track with	Exp	Capital Projects
M_CAP	Control	Exp	Capital Projects
M_QUDT2_FD	Track with	Exp	GO Bonds
M_QUDT_FD	Control	Exp	GO Bonds
M_QU_FD	Control	Exp	GO Bonds

Module 1: Course Introduction

End-to-End Business Process

The Fund's value will determine which Ledger Group is reviewed.

Control Options:

- **Track w/o:** no validation is done of ChartFields entered; transactions are not stopped
- **Track with:** Validation is done on ChartField combinations entered to ensure that a budget row was created; if the budget amount is exceeded, the transaction is not stopped and a warning message is logged; if no budget row was created, an error message is logged and the transaction goes no further
- **Control:** A validation is done on the budget combination; if the amount is exceeded, a budget error is logged; the transaction goes no further until resolved
- **Accountability Ordinance:** For the Ledger Group A_APPROP, OMB has grouped the Account ChartFields into three different groups:
 - Personnel, Other Operating and Capital.
- **Type:** Rev is Accounts that begin with a '4' and Exp are for Accounts that begin with a '5'

Module 1: Course Introduction

Introduction to Demonstrations Activities and Exercises Users will take part in three types of hands-on learning throughout this course: Instructor Demonstrations, Training Activities and Training Exercises- The definitions and descriptions of each are below.

Instructor Demonstrations



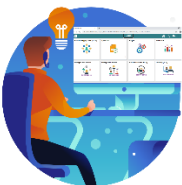
Instructor demonstration activities involve a walk-through of tasks and processes in INFORMS. The user's instructor will show users how to perform these activities while users follow along.

Training Activities



Users will perform tasks and processes in the INFORMS training environment by using the Training Activity and Data Sheet provided and by using this training guide as a reference.

Training Exercises



The Instructor will ask questions related to the lecture content and training activities, which are used to check the user's knowledge and understanding of course content.

Module 1: Course Introduction

Module 1: Course Introduction Summary

Managing Budget Exception discusses how to handle exceptions when some transactions fail the budget checking process or cause the budget checking process to issue a warning. The Budget Processor uses a set of pre-defined rules to determine whether a transaction should pass the budget and will be described in detail later in the course.

It provides information on handling this exception, depending on its nature, troubleshooting the budget check errors.

This module covers the following topics:

- Course Administration and Logistics
- Learning Objectives
- Roles and Responsibilities
- Navigation
- Key Changes to Business Process
- End-to-End Business Process
- Introduction to Demonstrations and Exercises

Module 2: Manage Budget Exceptions

Lessons

This module includes the following lessons:

- Manage Budget Exceptions

Lesson 1: Manage Budget Exceptions

Lesson 1:

At the conclusion of this lesson, users will be able to:

Overview

- Identify the error and warning messages
- Explain what journal status codes indicate
- Describe how the Budget Processor identifies errors
- Demonstrate the processes necessary to resolve errors in journals

Lesson 1: Manage Budget Exceptions

Lesson 1: Introduction

INFORMS is integrated so that established budgets are reviewed against eligible transactions, regardless of the submodule that created the entry. Purchasing, AP, Expenses, etc. all look at the same budget to determine the established rules from the Course Introduction summary.

Each module has its own Budget Checking Status hyperlink. After the budget processor completes, the Budget Checking Status is updated to Valid or Error. The Errors require corrective action before the transaction can proceed.

This course will demonstrate what occurs on a GL Journal entry and how to identify the error. Each module has a different location on the document for the error hyperlink, but once the Error hyperlink is selected, the process to review and manage exceptions is the same.

After running the INFORMS Commitment Budget Processor for the transaction, it returns the following budget checking status:

Journal Status	Description
V (Valid)	The transaction passed budget checking with a warning or no errors. Warning messages are logged as informational and do not stop a transaction.
N (Not Checked)	The transaction has not been budget checked.
E (Error)	The transaction did not complete the budget checking. The process does not update any control budget ledgers. The page provides a link to the appropriate exception page for the transaction.

Module 1: Manage Budget Exceptions

Key Terms

The following key terms are used in this module:



Term	Definition
Budget	An estimation of the expenses over a specified future period of time.
Budget Journal	A Commitment Control journal used to establish a budget for a particular ChartField string.
Budget Period Calendar	A schedule of activities that must be completed to create and develop a budget
Budget Processor	The process validates journal entries against the remaining spending authority within Commitment Control.
ChartField	A term to represent the chart of accounts. Sometimes the term is used by the INFORMS team to reference a specific field within the chart of accounts (i.e., Fund, Account, Dept ID).
Control Option of Ledger Group	<p>Track w/o No validation is done of ChartFields entered. Transactions are not stopped.</p> <p>Track with Validation is done on ChartField combination entered to ensure that a budget row was created.</p> <p>If the budget amount is exceeded, the transaction is not stopped. A warning message is logged.</p> <p>If no budget row was created, an error message is logged, and the transaction goes no further.</p> <p>Control A validation is done on the budget combination. if the amount is exceeded, a budget error is logged. The transaction goes no further until resolved.</p>
Errors	Are exceptions that have failed budget checking because they do not conform to the rules established for that control budget.
Journal	A journal is used to post accounting transactions to a ledger. There are different types of Journals. For example, there are journals in the GL system, Spreadsheet Journals, Journals from Journal Generator used to create journals from other modules like Accounts Payable and Accounts Receivable, etc.
Ledger Group	Ledger groups define a set of detailed ledgers. These detailed ledgers are associated to specific ledger types. Some examples of Commitment Ledger types include: Budget, Encumbrances, Expenses and Pre-Encumbrances.
Warning	Exceptions that do not conform to the rules of the control budget but have been passed along and update the Commitment Control ledgers. Warnings function as exceptions that are automatically overridden, as well as alerts to certain situations that could adversely impact the budget and budgetary processing.

Lesson 1: Manage Budget Exceptions

Lecture 1: Error and Warning Messages

The budget checking process issues either an error or a warning message. Since warning messages do not stop a transaction from proceeding, only errors are detailed in this class.

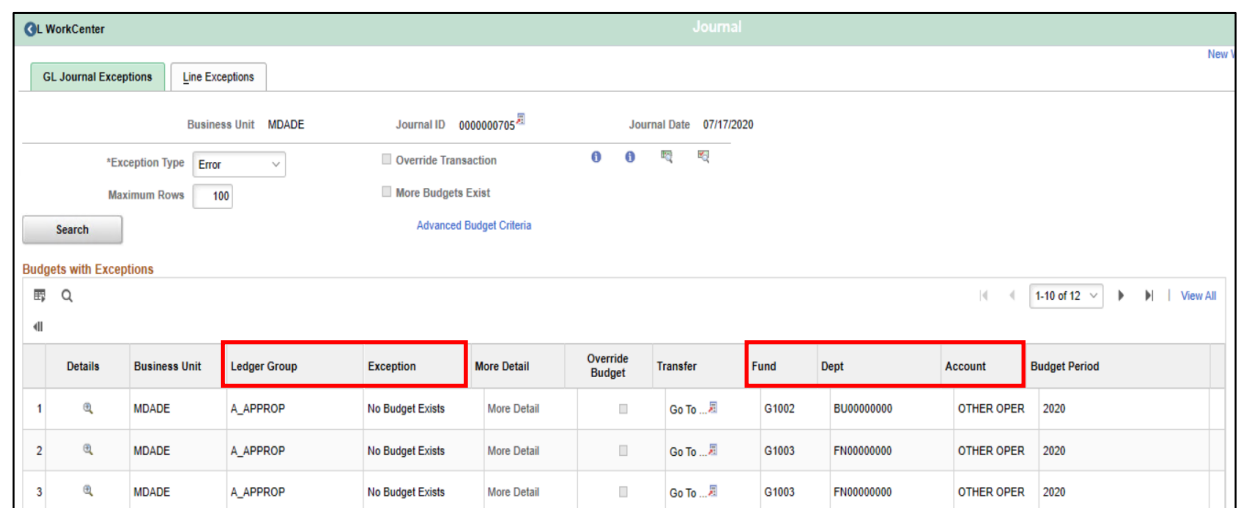
The following are common budget checking errors:

Error	Description
No Budget Exists	A budget row for the budget combination has not been created. Applies to Ledger Groups with a Control Option of 'Track with' or 'Control'
Exceeds Budget Tolerance	A budget combination is exceeded Applies to Ledger Groups with a Control option of 'Control'
Required Key CF is blank	Applies if the Budget Definition required field is blank

Less common budget errors:

Error	Comments
Tree Translation Error	Occurs when a new ChartField value was not added to a budget roll-up tree-like Accountability Ordinance tree

Sample screenshots of common errors:



Details	Business Unit	Ledger Group	Exception	More Detail	Override Budget	Transfer	Fund	Dept	Account	Budget Period
1	MDADE	A_APPROP	No Budget Exists	More Detail	<input type="checkbox"/>	Go To ...	G1002	BU00000000	OTHER OPER	2020
2	MDADE	A_APPROP	No Budget Exists	More Detail	<input type="checkbox"/>	Go To ...	G1003	FN00000000	OTHER OPER	2020
3	MDADE	A_APPROP	No Budget Exists	More Detail	<input type="checkbox"/>	Go To ...	G1003	FN00000000	OTHER OPER	2020

Lesson 1: Manage Budget Exceptions

Lecture 1: Sample screenshots of common errors: Error and Warning Messages

General Ledger Journal

GL Journal Exceptions | Line Exceptions

Business Unit: MDADE | Journal ID: 0000000525 | Journal Date: 06/04/2020

*Exception Type: Error | ☐ Override Transaction | ☐ More Budgets Exist

Maximum Rows: 100 | [Advanced Budget Criteria](#)

[Search](#)

Budgets with Exceptions

	Details	Business Unit	Ledger Group	Exception	More Detail	Override Budget	Transfer	Fund	Dept	Account	Budget Period
1		MDADE	A_APPROP	Exceeds Budget Tolerance	More Detail	<input type="checkbox"/>	Go To ...	G1001	BU00000000	OTHER OPER	2020

General Ledger

GL Journal Exceptions | Line Exceptions

Business Unit: MDADE

*Exception Type: Error | Maximum Rows: 100 | [Search](#)

Budgets with Exceptions

[Budget Override](#) | [Budget Chartfields](#)

	Details	Business Unit	Ledger Group	Exception	More Detail	Override Budget	Transfer
1		MDADE	A_APPROP	Translation Tree error	More Detail	<input type="checkbox"/>	Go To ...

[Save](#) | [Return to Search](#) | [Notify](#)

GL Journal Exceptions | [Line Exceptions](#)

Explain

Message:
No translate value for Account: "5910100000" in Tree "CC_ACCT_AO", SetID "MDC"

Description:
Budget Processor was not able to find a translated budgetary chartfield value, in the specified tree, for the specified detail level chartfield.

[Return](#)

Lesson 1: Manage Budget Exceptions

Lecture 2: Budget Processor

To determine whether to process or reject a transaction, the rules in the Budget Processor need to be defined in the budget definition, rulesets, budget period statuses, budget attributes and source transactions pages. These are all established as part of System Configuration and they are shared only for informational purposes:

- **Budget Definition:** Provides the financial rules used to process all commitment control activities
- **Rulesets** consist of:
 - **Key ChartFields:** required for budget journals and source transactions
 - **Translations trees and levels** where users will budget for the Key ChartFields
 - **Budget Period Calendar**
- **Budget Period Status:** limits Commitment Control activities to occur during a specific budget period
- **Control ChartField:** determines which Fund ChartField value applies to which Commitment Control Ledger Group; for example, the Ledger Groups M_QU_FD, M_QUDT_FD and M_QUDT2_FD apply to GO Bond Funds.
- **Budget Attributes:** allow users to refine users Commitment Control activities to a specific:
 - General Ledger Business Unit
 - Ledger Group
 - Budget ChartField Combination

Using Budget Attributes is the common method expected to override transactions in the Ledger Group A_APPROP. This is similar to what was done in FAMIS when 'lifting controls.'

These rules default from the top down and override from the bottom up.

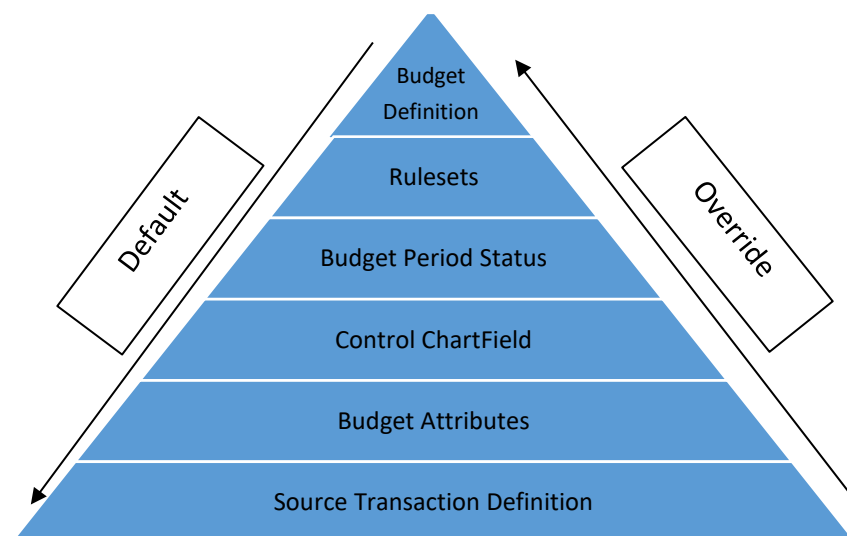


Figure 1: Budget Processor Rules

Lesson 1: Manage Budget Exceptions

Lecture 3: There are multiple ways to identify errors on documents:

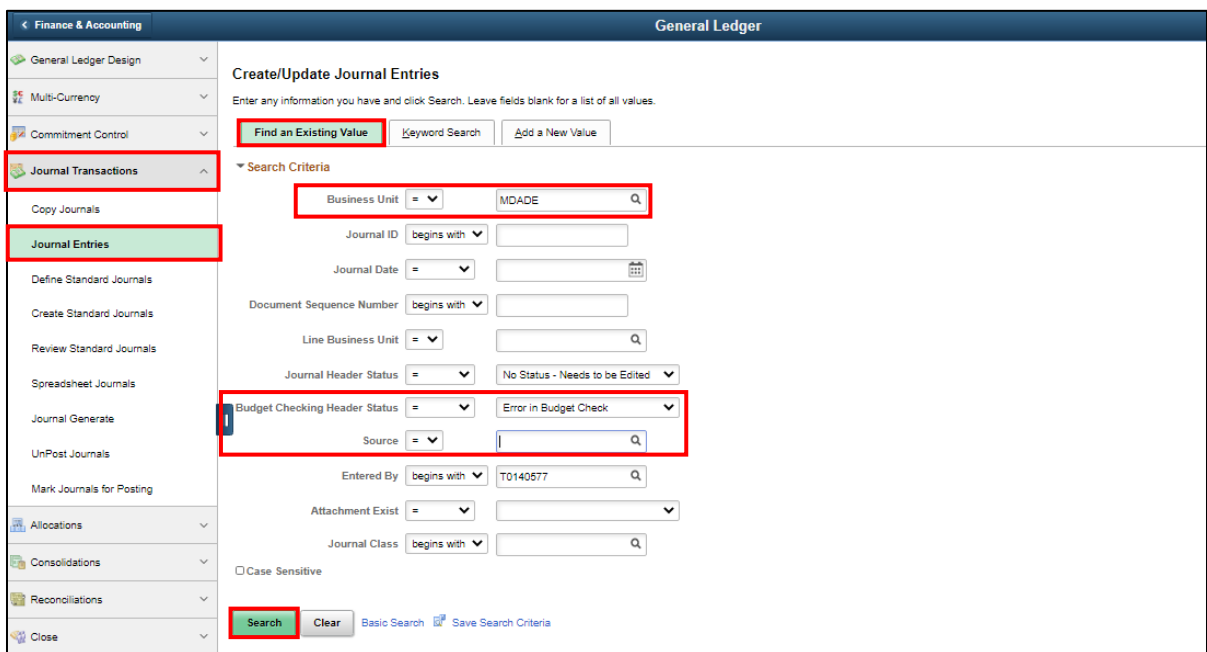
Identify Errors

- The end-user will raise a flag that their document has an error and cannot be processed further
- A query of Exceptions can be run
- Online review of budget errors

This class will identify errors online and use GL Journals as an example.

There are at least two ways to navigate to see budget errors online which will be shown:

1. Navigation: **Finance/ Supply Chain (FSCM) > Finance & Accounting > General Ledger > Journals Transactions> Journal Entries> Create Journal Entry > Header**



The screenshot shows the 'Create/Update Journal Entries' interface. The left-hand navigation pane is expanded to 'Journal Entries'. The main area contains a search criteria section with the following fields and values:

- Business Unit:** MDADE
- Budget Checking Header Status:** Error in Budget Check
- Source:** (empty)
- Entered By:** T0140577

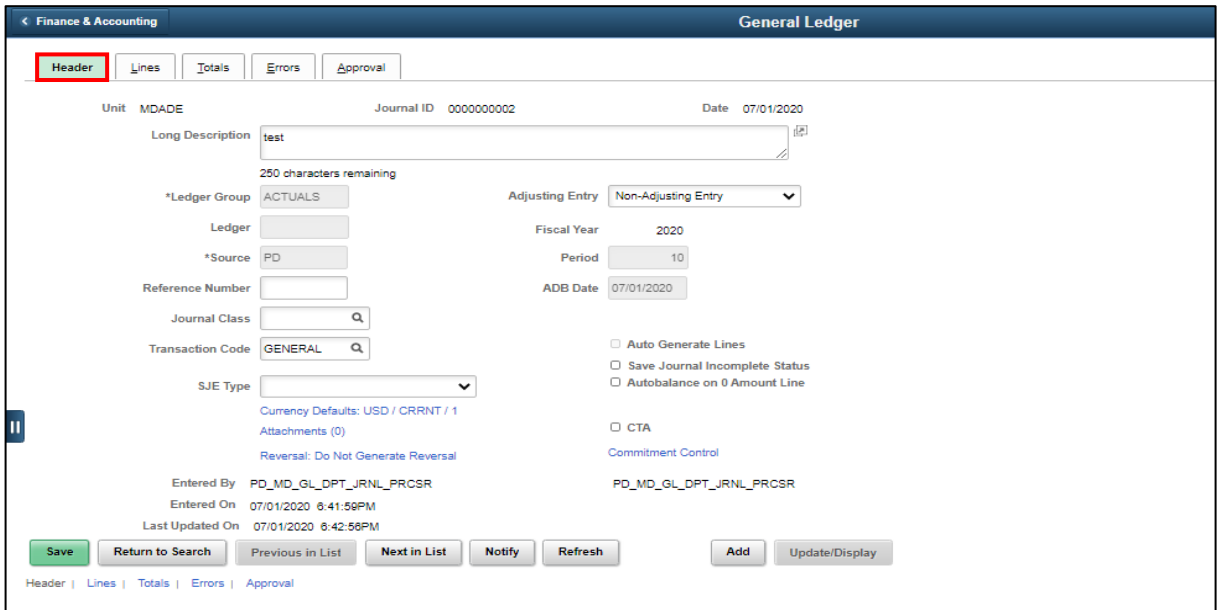
The 'Search' button is highlighted in red at the bottom of the search criteria section.

2. Ensure all search fields are cleared except for:
 - **Business Unit:** MDADE
 - **Budget Checking Header Status:** Error in Budget Checking
 - **Source:** User Departments
3. Select **Search** and select the Journal in error.

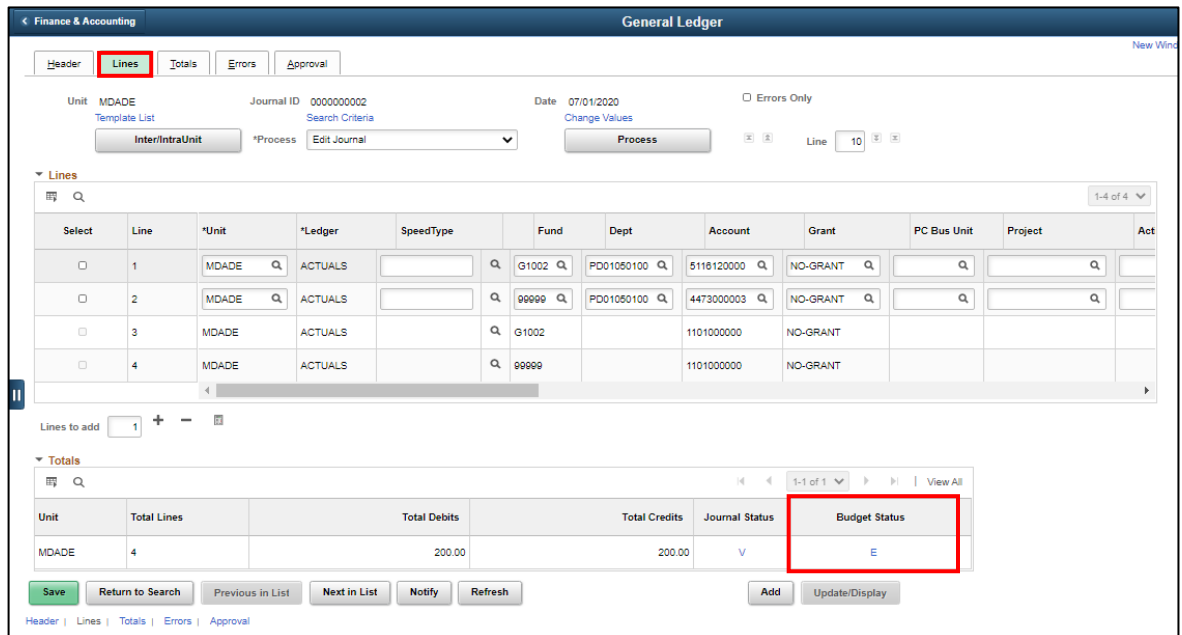
Lesson 1: Manage Budget Exceptions

Lecture 3: Identify Errors

4. The **Header** page displays:



5. Select the **Lines** page and select the **Budget Status E** hyperlink. This will open a new window:



Select	Line	*Unit	*Ledger	SpeedType	Fund	Dept	Account	Grant	PC Bus Unit	Project	Act
<input type="checkbox"/>	1	MDADE	ACTUALS		G1002	PD01050100	5116120000	NO-GRANT			
<input type="checkbox"/>	2	MDADE	ACTUALS		99999	PD01050100	4473000003	NO-GRANT			
<input type="checkbox"/>	3	MDADE	ACTUALS		G1002		1101000000	NO-GRANT			
<input type="checkbox"/>	4	MDADE	ACTUALS		99999		1101000000	NO-GRANT			

Unit	Total Lines	Total Debits	Total Credits	Journal Status	Budget Status
MDADE	4	200.00	200.00	V	E

Lesson 1: Manage Budget Exceptions

Lecture 3: Identify Errors

The second method to find the Budget Error page:

1. Navigate to: Finance and Supply Chain (FSCM) > Finance and Accounting > **General Ledger** > **Commitment Control** > **Journal Exceptions**
2. Ensure all search fields are cleared except for:
 - **Business Unit:** MDADE
 - o **NOTE:** If looking for budget errors in another module's exceptions table other than General Ledger, the Business Unit to enter is the Department Business Unit, (i.e. Animal Services)
 - **Process Status:** Error Exist


Journal


Enter any information you have and click Search. Leave fields blank for a list of all values.


[Find an Existing Value](#)


Search Criteria

Commitment Control Tran ID begins with


Commitment Control Tran Date = 


Business Unit = MDADE 

Journal ID begins with 


Journal Date = 

Process Instance =

Process Status = Errors Exist 

[Search](#) [Clear](#) [Basic Search](#)  [Save Search Criteria](#)

Search Results

[View All](#) 1-22 of 22 

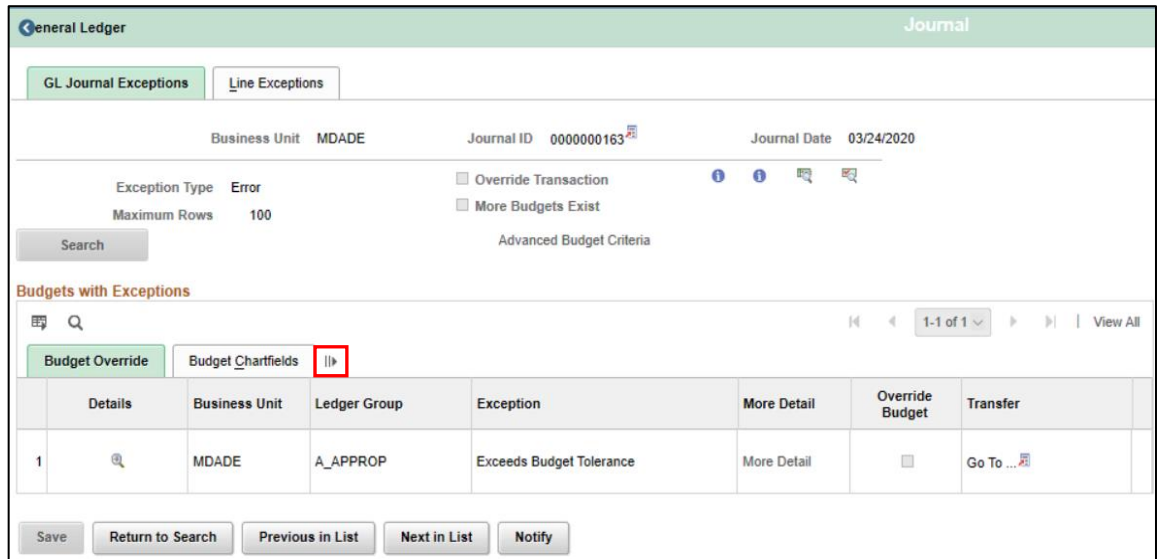
Commitment Control Tran ID	Commitment Control Tran Date	Business Unit	Journal ID	Journal Date	UnPost Sequence	Process Instance	Process Status
0000001712	01/28/2020	MDADE	SMOKETEST6	01/28/2020	0	174840	Error
0000001713	01/29/2020	MDADE	SMOKE10	01/29/2020	0	174847	Error

3. Select the relevant Journal in error.

Lesson 1: Manage Budget Exceptions

Lecture 3: Identify Errors

4. After selecting the entry in error, the **GL Journal Exceptions** page is displayed.



The screenshot displays the 'General Ledger' interface with the 'Journal' tab selected. The 'GL Journal Exceptions' sub-tab is active. The page shows the following details:

- Business Unit:** MDADE
- Journal ID:** 0000000163
- Journal Date:** 03/24/2020
- Exception Type:** Error
- Maximum Rows:** 100
- Search:** [Search button]
- Advanced Budget Criteria:**
 - ☐ Override Transaction
 - ☐ More Budgets Exist

The 'Budgets with Exceptions' section shows a table with the following columns: Details, Business Unit, Ledger Group, Exception, More Detail, Override Budget, and Transfer. The first row is highlighted, showing an exception for 'Exceeds Budget Tolerance'.

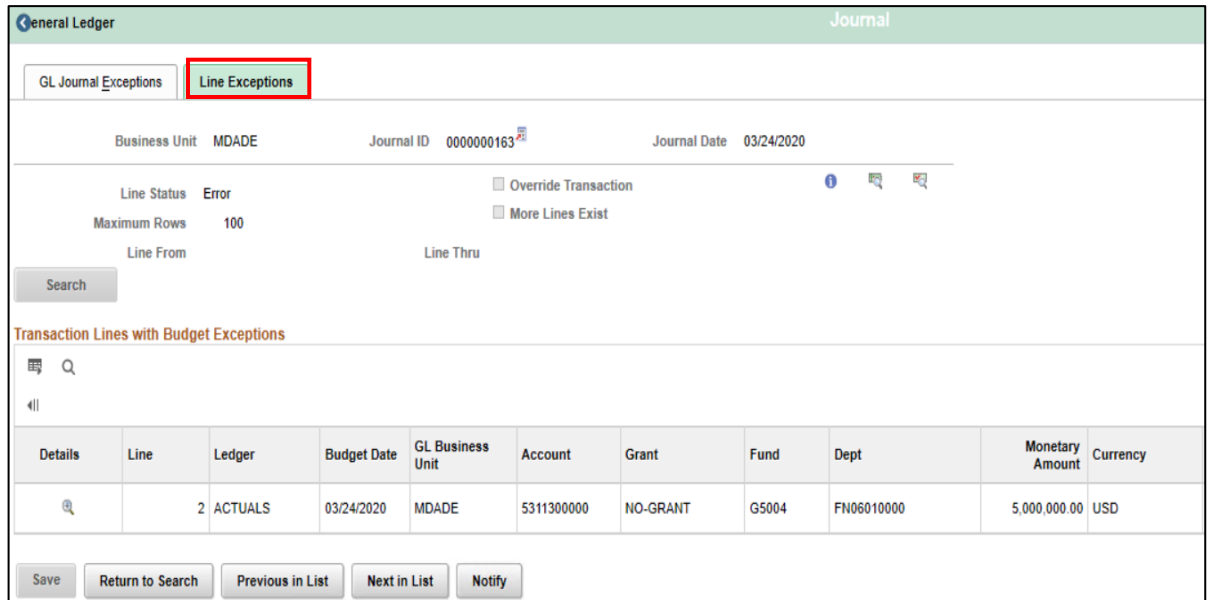
A red box highlights the 'Show all columns' icon (a double arrow pointing right) in the table header.

At the bottom of the page, there are buttons for 'Save', 'Return to Search', 'Previous in List', 'Next in List', and 'Notify'.

5. Select the **Show all columns** icon, highlighted above.
6. This exception shows that the Budget combination in annual Appropriation for the Accountability Ordinance Account value OTHER OPER in the Finance Department for Fund G5004 is overspent.
7. To see the ChartFields entered on the transaction, select the **Line Exceptions** tab and then select the **Show all column** icon to see the details.

Lesson 1: Manage Budget Exceptions

Lecture 4: Correcting Errors



General Ledger Journal

GL Journal Exceptions **Line Exceptions**

Business Unit MDADE Journal ID 000000163 Journal Date 03/24/2020

Line Status Error ☐ Override Transaction ☐ More Lines Exist

Maximum Rows 100

Line From Line Thru

Search

Transaction Lines with Budget Exceptions

Details	Line	Ledger	Budget Date	GL Business Unit	Account	Grant	Fund	Dept	Monetary Amount	Currency
	2	ACTUALS	03/24/2020	MDADE	5311300000	NO-GRANT	G5004	FN06010000	5,000,000.00	USD

Save Return to Search Previous in List Next in List Notify

The following are steps to correct the error:

1. Review the ChartFields on the Line Exception page, are they correct? If not, make updates and rerun the budget check.
2. Review the amount, is it correct? If not, make updates and rerun the budget check.
3. If the ChartField combination and amount are correct, look at the Department's Purchase Order. Should an open PO be closed to free up the budget at the correct budget error combination?
4. Speak to the Department Budget Analyst, they will need to coordinate with OMB on what to do.
5. Depending upon the Ledger Group, a budget journal would need to be entered by the Department budget staff and submitted through workflow to OMB to approve and post. Once the budget journal is posted, the transaction would then be budget checked in the batch process and pass budget checking. The transaction would then be able to proceed.
6. Depending upon the Ledger Group, OMB may decide to 'lift controls' through Budget Attributes. The transaction would run through a budget check while controls were lifted. The transaction would then be updated to post and allowed to proceed.

Lesson 1: Manage Budget Exceptions

Lesson Summary



Now that users have completed the lesson, users should be able to:

- Identify the error and warning messages
- Explain what journal status codes indicate
- Describe how the Budget Processor identifies an error
- Demonstrate the processes necessary to resolve errors in journals

Lesson 1: Training Activity 1

Demonstration The Instructor will now demonstrate how to execute the business process through the INFORMS training environment.

Instructions Please refer to Activity 1 on the FIN 207 Training Activity and Data Sheet.

This activity will be performed individually; users must complete it in the classroom workstation using the INFORMS training environment. Users Instructor will tell users how to log into INFORMS.

Users will perform the activity by following the FIN 207 Training Activity and Data Sheet and by using the training materials as reference tools.

Instructor(s) are available if users have questions.

Lesson 1: Training Exercise

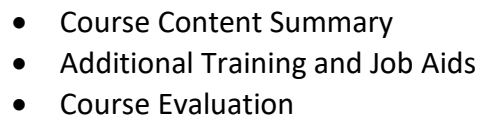
Debrief



1. What are the three journal statuses the Budget Processor can produce for a budget?

2. What is the major difference between a Budget Error and a Budget Warning?

Course Summary



Objectives Achieved



- Identify the error and warning messages
- Explain what journal status codes indicate
- Describe how the Budget Processor identifies errors
- Demonstrate the processes necessary to resolve errors in journals

Module 3: Course Summary

Additional Training and Job Aids

Users may be eligible to take the following training courses based on their INFORMS roles:

- FIN 208 – Budget Inquiry and Reporting

Users also have the following resources available:

User Productivity Kits

- Manage Budget Exception

Job Aids

- N/A

For additional information, be sure to visit:

- Miamiidade.gov/informs

Module 3: Course Summary

Key Terms

The following key terms are used in this course:



Term	Definition
Budget Journal	A Commitment Control journal used to establish a budget for a particular ChartField string.
Budget Period Calendar	A schedule of activities that must be completed to create and develop a budget
Budget Processor	The process validates journal entries against the remaining spending authority within Commitment Control.
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Control Option of Ledger Group	Track w/o No validation is done of ChartFields entered. Transactions are not stopped. Track with Validation is done on ChartField combination entered to ensure that a budget row was created. If the budget amount is exceeded, the transaction is not stopped. A warning message is logged. If no budget row was created, an error message is logged, and the transaction goes no further. Control A validation is done on the budget combination. if the amount is exceeded, a budget error is logged. The transaction goes no further until resolved.
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Ledger Group	Ledger groups define a set of detailed ledgers. These detailed ledgers are associated to specific ledger types. Some examples of Commitment Ledger types include: Budget, Encumbrances, Expenses and Pre-Encumbrances.
Warning	Exceptions that do not conform to the rules of the control budget but have been passed along and update the Commitment Control ledgers. Warnings function as exceptions that are automatically overridden, as well as alerts to certain situations that could adversely impact the budget and budgetary processing.