

Reviewing Appropriation Information in SFS

Presented by Dainelle Whitman and Molly Gibbons from the OSC
Bureau of State Accounting Operations



NYS COMPTROLLER
THOMAS P. DiNAPOLI

2021 Fall Conference

Office of Operations

Terri Crowley, Executive Deputy Comptroller

Division of Payroll Accounting & Revenue Services

Dave Hasso, Deputy Comptroller

Sharon Buck, Assistant Comptroller

Melody Goetz, Director, Bureau of State Accounting Operations

Melissa Clayton, Assistant Director, Bureau of State Accounting Operations



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THOMAS P. DiNAPOLI

Budgets & Spending Unit



Appropriation – Defined

- An appropriation is a statutory authorization to spend...
 - **Up to** a certain amount of money
 - **From** a specific source of funds
 - **For** a specified purpose.
- Section 7 of Article VII of New York’s Constitution states, in part, that “no money shall ever be paid out of the state treasury or any of its funds, or any of the funds under its management, except in pursuance of an appropriation by law....”



Appropriation Periods

- April 1st to March 31st
 - Plus, a carryout period for outstanding liabilities
- State Finance Law – Section 40
 - Liability Periods, Appropriation Periods and Lapse Dates
- State Constitution – 2-Year Life Maximum



Appropriation Types

- State Operations
 - *For the operation of state agencies*
- Local Assistance
 - *For Aid to localities*
- Debt Service
 - *For state debt service on long-term debt*
- Capital
 - *For state construction projects*



Lapsing

Lapse Date	Appropriations Subject to Lapsing
June 30	State Operations
September 15	Local Assistance, Debt Service, Legislature, Judiciary, and Capital Projects
September 30	SUNY/CUNY



Lapsing Process

- Report NYKK0004- reviewed by agencies.
 - Discrepancies reported to OSC accountant & Appropriations@osc.ny.gov
- Report NYKK0264-Negative Segregations.
- Report NYAP1547- Pending transactions in SFS.
- FBIC journals with errors **must** be fixed and posted prior to lapsing.
- No agency transactions after 5pm on the day of lapsing.
- See *OSC Guide to Financial Operations (GFO)*, [Chapter XVII, Section 3](#) for lapsing guidance and lapsing transaction deadlines.



Appropriation from Budget Bill

10	ADMINISTRATION PROGRAM	3,207,000
11	
12	General Fund	
13	State Purposes Account - 10050	
14	For services and expenses related to the	
15	administration program.	
16	Notwithstanding any other provision of law	
17	to the contrary, the OGS Interchange and	
18	Transfer Authority, and the IT Interchange	
19	and Transfer Authority as defined in the	
20	2021-22 state fiscal year state operations	
21	appropriation for the budget division	
22	program of the division of the budget, are	
23	deemed fully incorporated herein and a	
24	part of this appropriation as if fully	
25	stated (81001).	
26	Personal service--regular (50100)	1,698,000
27	Holiday/overtime compensation (50300)	39,000
28	Supplies and materials (57000).....	64,000
29	Travel (54000).....	86,000
30	Contractual services (51000)	1,279,000
31	Equipment (56000)	41,000



SFS Budget Overview Criteria

*Business Unit

Ledger Group/Set

Ledger Group

View Stat Code Budgets

Display Chart

Segregation Ledger Group

Time Span

*Type of Calendar

Budget Criteria

1-1 of 1 | View All

Select	Ledger Group	Calendar ID	From Budget Period	To Budget Period	Include Adjustment Period(s)	Include Closing Adjustments
<input checked="" type="checkbox"/>	KK_SEG	B1	<input type="text" value="1950-51"/> <input type="button" value="Q"/>	<input type="text" value="2039-40"/> <input type="button" value="Q"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

ChartField Criteria

ChartField	ChartField From Value	ChartField To	Info	ChartField Value Set	Update/Add
Account	<input type="text" value="%"/> <input type="button" value="Q"/>	<input type="text" value="%"/> <input type="button" value="Q"/>	<input type="button" value="i"/>	<input type="text" value=""/> <input type="button" value="Q"/>	Update/Add
Dept	<input type="text" value="%"/> <input type="button" value="Q"/>	<input type="text" value="%"/> <input type="button" value="Q"/>	<input type="button" value="i"/>	<input type="text" value=""/> <input type="button" value="Q"/>	Update/Add
Fund	<input type="text" value="10050"/> <input type="button" value="Q"/>	<input type="text" value="%"/> <input type="button" value="Q"/>	<input type="button" value="i"/>	<input type="text" value=""/> <input type="button" value="Q"/>	Update/Add
Program	<input type="text" value="81001"/> <input type="button" value="Q"/>	<input type="text" value="%"/> <input type="button" value="Q"/>	<input type="button" value="i"/>	<input type="text" value=""/> <input type="button" value="Q"/>	Update/Add
Bud Ref	<input type="text" value="%22"/> <input type="button" value="Q"/>	<input type="text" value="%"/> <input type="button" value="Q"/>	<input type="button" value="i"/>	<input type="text" value=""/> <input type="button" value="Q"/>	Update/Add

Budget Status

<input checked="" type="checkbox"/>	O
<input checked="" type="checkbox"/>	C
<input checked="" type="checkbox"/>	H



Navigator > Commitment Control > Review Budget Activities > Budgets Overview



Appropriation in SFS Budget Overview

Budget	3,207,000.00	Net Transfers
Expense	785,709.50	
Encumbrance	238,855.68	
Pre-Encumbrance	0.00	
Budget Balance	2,182,434.82	
Associate Revenue	0.00	
Available Budget	2,182,434.82	

Review Results

Ledger Group	Account▲	Fund	Dept▲	Program	Bud Ref	Budget Period▼	Budget	Expense
KK_SEG	50100	10050	3200000	81001	2021-22	2021-22	1,698,000.00	682,983.92
KK_SEG	50300	10050	3200000	81001	2021-22	2021-22	39,000.00	150.94
KK_SEG	51000	10050	3200000	81001	2021-22	2021-22	1,279,000.00	99,530.61
KK_SEG	54000	10050	3200000	81001	2021-22	2021-22	86,000.00	67.00
KK_SEG	56000	10050	3200000	81001	2021-22	2021-22	41,000.00	0.00
KK_SEG	57000	10050	3200000	81001	2021-22	2021-22	64,000.00	2,977.03



Budget Overview Functionality

Click on blue hyperlinks from Budget Overview to drill down

Account▲	Fund	Dept▲	Program	Bud Ref	Budget Period▼	Budget	Expense	Encumbrance
51000	10050	3200000	81001	2021-22	2021-22	1,279,000.00	117,605.05	209,391.48

Ledger KK_SEG_EX

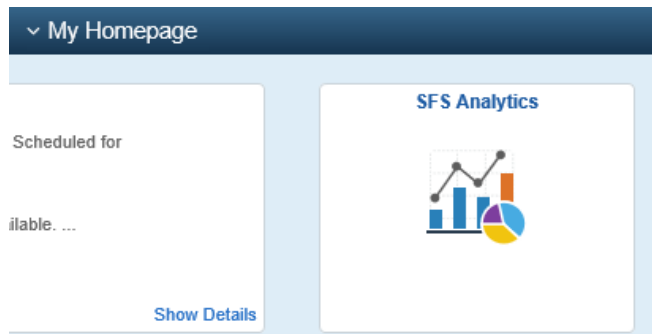
Activity Log

		Tran Line	Document Label	Document ID▲	Ref Bdgt?	Account	Fund	Dept	Program	Bud Ref
		2	Voucher ID:	00016716	N	51000	10050	3200000	81001	2021-22
		1	Voucher ID:	00016719	N	51000	10050	3200000	81001	2021-22

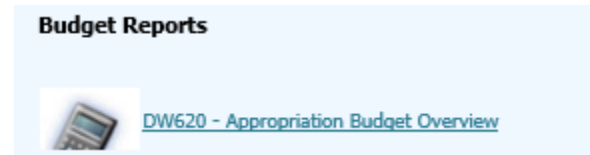


Budget Overview using SFS Analytics

- On SFS homepage, click on 'SFS Analytics' tile



- Once in Analytics, go to Budget Reports > DW-620 Appropriation Budget Overview



Budget Overview - Budget Report

DW620 Budget Report

Budgetary Department Code - Description is equal to **3200000 - DED01-Dept of Economic Dev_BD**
and Budgetary Fund Code - Description is equal to **10050 - STATE PURPOSES ACCOUNT**
and Budgetary Program Code - Description is equal to **81001 - Administration_Statewide**
and Budgetary Budget Reference Code is equal to **A202122**
and Descriptor_IDOF("Time"."Fiscal Period - Month for LTD") = 20220331
and Ledger Group is equal to / is in **KK_APPROP**
and Budgetary Only is equal to / is in **Y**

Choose View: Codes Only

Budgetary Department	Budgetary Fund	Budgetary Budget Reference	Budgetary Program Level 2	Budgetary Program	Budgetary Account	Lapse Date	Original Approp Amount	Current Appropriation	Unreserved	Reserved	Pre-Encumbrances	Encumbrances	LTD KK Expenditures	Remaining Unreserved Balance	LTD Modified Accrual	LTD Cash Ledger Disbursements
3200000	10050	A202122	81000	81001	50100	6/30/2022	1,698,000	1,698,000	1,698,000	0	0	0	749,125	948,875	749,125	749,125
3200000	10050	A202122	81000	81001	50300	6/30/2022	39,000	39,000	39,000	0	0	0	151	38,849	151	151
3200000	10050	A202122	81000	81001	51000	6/30/2022	1,279,000	1,279,000	1,279,000	0	0	209,391	117,605	952,003	117,605	99,969
3200000	10050	A202122	81000	81001	54000	6/30/2022	86,000	86,000	86,000	0	0	0	67	85,933	67	67
3200000	10050	A202122	81000	81001	56000	6/30/2022	41,000	41,000	41,000	0	0	0	0	41,000	0	0
3200000	10050	A202122	81000	81001	57000	6/30/2022	64,000	64,000	64,000	0	0	10,635	4,170	49,195	4,170	2,977
							3,207,000	3,207,000	3,207,000	0	0	220,026	871,119	2,115,855	871,119	852,289



Chart of Accounts (COA)

- Provides the State with common language for
 - Financial transactions
 - Budget control
 - Financial/statistical analysis
 - Reporting
- Used to organize the finances of New York State
 - Segregate expenditures
 - Revenue
 - Assets
 - Liabilities

[Guide to Financial Operations, Chapter V, Section 1 – Chart of Accounts \(COA\) Governance > Chart of Accounts \(COA\) Governance Overview and Policies](#)



Statewide & Agency (COA)

Statewide ChartField Values

- Business Unit (BU)
- Department
- Program
- Fund
- Account
- Budget Reference
- Project (for Federal Grants)
- Activity (for Federal Grants)

Agency Defined ChartField Values

- Operating Unit
- Product
- ChartField1
- ChartField2
- ChartField3
- Project (Agency specific)
- Activity (Agency specific)



Appropriation ChartFields

- The combination of the ChartFields creates unique strings
 - Establish and identify budgets that are used in transactions within SFS.
- An appropriation budget string consists of:

Business Unit	Department	Program	Fund	Account	Budget Reference
DED01	3200000	81001	10050	50100	2021-22

Ledger Group	Account▲	Fund	Dept▲	Program	Bud Ref	Budget Period▼	Budget
KK_SEG	50100	10050	3200000	81001	2021-22	2021-22	1,698,000.00



Tree Viewer

Tree Viewer

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

Find an Existing Value

▼ Search Criteria

Search by: begins with

Search Results

View All 1-6 of 6

Tree Name	SetID	Set Control Value	Effective Date	Description	Category	Valid Tree
KK_SW_PRGM	SHARE	(blank)	04/01/2021	KK Program Tree	KK TREES	Valid
KK_SW_PRGM	SHARE	(blank)	04/01/2020	KK Program Tree	KK TREES	Valid
KK_SW_PRGM	SHARE	(blank)	04/01/2019	KK Program Tree	KK TREES	Valid
KK_SW_PRGM	SHARE	(blank)	04/01/2018	KK Program Tree	KK TREES	Valid
KK_SW_PRGM	SHARE	(blank)	04/01/2017	KK Program Tree	KK TREES	Valid
KK_SW_PRGM	SHARE	(blank)	01/01/2000	KK Program Tree	KK TREES	Valid



Navigator > Tree Manager > Tree Viewer



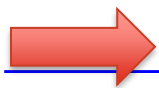
“Roll-ups” and Trees – Transactional to Budget

Accounting entries for source transactions use “transactional” values.

- Vouchers
- Deposits
- Journal entries

The transactional values “roll-up” to different levels on each type of tree.

- KK_SW_PRGM – Commitment Control Statewide Program Tree
- KK_SW_ACCOUNT – Commitment Control Statewide Account Tree
- KK_SW_DEPT – Commitment Control Statewide Department Tree
- KK_DB_PRGM – Commitment Control DOB Program Tree
- RPT_SW_PRGM – Statewide Program Reporting Tree



[GFO Section VI.1.A ‘Budgetary Chart strings’](#)



Statewide Program Tree

Tree Viewer

SetID	SHARE	Last Audit	Valid Tree
Effective Date	04/01/2021	Status	Active
Tree Name	KK_SW_PRGM	KK Program Tree	

[Close](#) [Display Options](#) [Print Format](#)

[00000](#) > [30305](#) > **30315**

[Collapse All](#) | [Expand All](#) [Find](#) [First Page](#) ◀ 60 of 17090 ▶ [Last Page](#)

- 📁 30305 - Disaster Assistance **Level 2 – Major Program Value**
 - 📁 30315 - Disaster Assistance General **Level 3 – Budgetary Value**
 - 📄 [30357] - Disaster Assistance General **Level 4 – Transactional Value**
 - 📁 30316 - Disaster Assistance 2005-06
 - 📁 30322 - World Trade
 - 📁 30323 - Hurricane Irene



Reporting Statewide Program Tree

Tree Viewer

SetID SHARE

Last Audit Valid Tree

Effective Date 01/01/2000

Status Active

Tree Name RPT_SW_PRGM

SW Program Tree

Close Display Options Print Format

[ALL PROGRAMS](#) > [PUBLIC SAFETY](#) > [EMERGENCY MANAGVICE](#) > [DISASTER ASSISTANCE](#) > [DISASTER ASSISTERAL5](#) > [Detail](#)

[Collapse All](#) | [Expand All](#) Find [First Page](#) 27 of 15481 [Last Page](#)

- EMERGENCY_MANAGVICE - Emergency Management Service
 - COUNTER_TERRORISM - COUNTER_TERRORISM
 - HOMELAND_SECURIORITY - Homeland Security
 - COLEMGYPRPHSCYBR CCP - CollgEmergPrepHS&Cybersec CCP
 - CYBER_SECURITY4 - Cyber Security
 - DISASTER_ASSISTANCE - Disaster Assistance
 - STORM SANDY RECOVERY - Storm Sandy Recovery
 - DISASTER_ASSISTERAL5 - Disaster Assistance General
 - [30315] - Disaster Assistance General - Budgetary Value
 - [30357] - Disaster Assistance General - Transactional Value
 - [30379] - Disaster Assistance 2005-06 - Transactional Value
 - KATRINA_5 - Katrina
 - WORLD_TRADE5 - World Trade
 - HURRICANE_IRENERENE5 - Hurricane Irene
 - EMERGENCY_MANAGMENT4 - Emergency Management
 - FIRE_PREVENTION - Fire Prevention



Statewide Account Tree

Tree Viewer

SetID	SHARE	Last Audit	Valid Tree
Effective Date	04/01/2021	Status	Active
Tree Name	KK_SW_ACCT		KK Account Tree

[Close](#) [Display Options](#) [Print Format](#)

[00000](#) > [50010](#) > [50000](#) > [50100](#)

[Collapse All](#) | [Expand All](#) [Find](#) [First Page](#) ◀ 22 of 569 ▶ [Last Page](#)

- 00000 - EXPENSE ACCOUNTS
 - 59100 - Prompt Pymt Interest Clearing
 - 50010 - State Operations - Budgetary Value for SNY & CNY
 - 50000 - Personal Service
 - 50100 - Personal Service Regular - Budgetary Value
 - [50101] - Regular Employee - Base Salary - Transactional Value
 - [50104] - Reg Employee-Uniform Allowance
 - [50105] - Regular Employee - Standby Pay
 - [50106] - Regular Employee-Extra Service
 - [50107] - Regular Employee - Lump Sum
 - [50108] - Reg Employee-Additional Comp
 - [50PSC] - Personal Service Reg CNV
 - 50200 - Temporary Service
 - 50300 - Holiday/Overtime Compensation





Appropriation Attributes

- Each appropriation has a set of attributes that include appropriation attributes and transactional attributes
- Appropriation attributes include:
 - Appropriation title
 - Lapse date
 - CCP code and Reference number for capital appropriations
- Transactional attributes include:
 - Journal ID and journal date of all budget journals done
 - Chapter, section, law, page, and line is the location of where the appropriation amount is found in the budget bill



Attribute Searches

Navigation → Commitment Control/Define Control Budgets/Budget Attributes

Commitment Control Budget Attributes

Business Unit MSC01 Ledger Group KK_SEG

ChartField Criteria

ChartField	ChartField Value	To Value
Account	% <input type="text"/>	% <input type="text"/>
Dept	% <input type="text"/>	% <input type="text"/>
Fund	72800 <input type="text"/>	% <input type="text"/>
Program	80548 <input type="text"/>	% <input type="text"/>
Bud Ref	%2020% <input type="text"/>	

Budget ChartFields

Account	Fund	Dept	Program	Bud Ref	Set Options		
60902 <input type="text"/>	72800 <input type="text"/>	7010000 <input type="text"/>	80548 <input type="text"/>	2020-21 <input type="text"/>	Set Options	<input type="button" value="+"/>	<input type="button" value="-"/>
60902 <input type="text"/>	72800 <input type="text"/>	7010000 <input type="text"/>	80548 <input type="text"/>	R202021 <input type="text"/>	Set Options	<input type="button" value="+"/>	<input type="button" value="-"/>



Appropriation Attributes

Budget ChartFields

Business Unit	Ledger Group	Account	Fund	Dept	Program	Bud Ref
MSC01	KK_SEG	60902	72800	7010000	80548	2020-21

Budget Status

Budget Period	Status	Budget Closed		
2020-21	Closed	Y	+	-
2021-22	Default	N	+	-

Appropriation Attributes

	Appropriation Title	Lapse Date	Source Code	CCP Code	Activity Code	Reference Number	Loan Status		
1	SPECIAL FEDERAL E	06/30/2022	Legis					+	-

Transactional Attributes

	Journal ID	Journal Date	Appropriation Type	Chapter	Section	Law	Page	Line
1	0004871066	07/30/2021	Interchng	50	1	2021	772	18
2	0004865982	07/27/2021	Interchng	50	1	2021	772	18



Budget Exceptions

Common Budget Exceptions (Error):

- Exceeds Budget Tolerance
- Budget Closed
 - Closed budget period
 - Lapsed appropriation
- Budget Date Out of Bounds
- No Budget Exists
- Spending Authority Over Budget
- DOB spending plans
- Agency ledger
- Project ledger
- Required Chartfield is Blank
- Insufficient cash – won't show as an error but the entry will not post to cash ledger



Budget Exceptions

Unit DCJ01 Journal ID FICDCJ0003 Date 08/25/2021 Errors Only
 Template List Search Criteria Obligation Date Change Values
 *Process Line

▶ Inter/IntraUnit Groups

▼ Lines

Select	Line▲	*Unit	Amount	Dept	Fund▼	Account▲	Program	Class	Bud Ref	Product
<input type="checkbox"/>	1	DCJ01	5,313.04	1090205	25533	58801	20441		2016-17	
<input type="checkbox"/>	2	DCJ01	11,377.65	1090218	25533	58801	20441		2016-17	
<input type="checkbox"/>	3	DCJ01	1,376.15	1090200	25337	58801	20405		2017-18	
<input type="checkbox"/>	4	DCJ01	140.79	1090201	25337	58801	20405		2017-18	
<input type="checkbox"/>	5	DCJ01	566.70	1090206	25337	58801	20405		2017-18	
<input type="checkbox"/>	6	DCJ01	217.57	1090207	25337	58801	20405		2017-18	
<input type="checkbox"/>	7	DCJ01	74.36	1090210	25337	58801	20405		2017-18	
<input type="checkbox"/>	8	DCJ01	819.18	1090213	25337	58801	20405		2017-18	
<input type="checkbox"/>	9	DCJ01	402.97	1090217	25337	58801	20405		2017-18	
<input type="checkbox"/>	10	DCJ01	1,321.03	1090218	25337	58801	20405		2017-18	

Lines to add

▼ Totals Personalize | Find | View All | First 1-2 of 2 Last

Unit	Total Lines	Total Debits	Total Credits	Journal Status	Budget Status
DCJ01	37	2,297,395.01	2,297,395.01	V	E
MSC01	171	1,192,886.77	1,192,886.77	V	V



Budget Exceptions

Budget Header | **Budget Lines** | Budget Errors

Division of the Budget examiners determine, pursuant to the authority vested in the Director of the Budget, (i) the unreserved appropriation amount for an appropriation affiliated with given Department, Fund, Program, Account and Budgetary Reference numbers set forth in the 'Seg Unreserved' column contained in the 'Appropriation Segregation Accounts (Disbursements)' report run in the Statewide Financial System, and (ii) the amount budgeted for the specified Department, Fund and Account numbers or Department, Fund, Program and Account numbers affiliated with an appropriation as set forth in the 'Budget' column for the applicable quarter contained in the 'KK Financial Plan Status Report' run in the Statewide Financial System. Until changed by a Division of the Budget examiner, (A) the unreserved appropriation amount referred to in (i) above is equal to the amount of the affiliated appropriation, or if applicable, such lower amount currently reflected by the unreserved appropriation amount, and (B) the amount budgeted referred to in (ii) above is \$0. A certificate of approval for an appropriation affiliated with given Department, Fund, Program, Account and Budgetary Reference numbers shall be deemed to be issued by the Director of the Budget in an amount equal to the unreserved appropriation as set forth in the 'Seg Unreserved' column contained in the 'Appropriation Segregation Accounts'.

Unit SED01

Journal ID 0004784374

Date 05/17/2021

Errors Only

Budget Header Status

Error

Approval Header Status

Pending

Process

Budget Context

*Process Post Journal

▼ Lines

🗨️ 🔍

Chartfields and Amounts

Base Currency Details ||>

Delete	Line	Error	Ledger	Set Options	Account	Fund	Dept	Program	Bud Ref	Amount
<input type="checkbox"/>	1		KK_SEG_BD	Set Options	50100 🔍	10050 🔍	3300000 🔍	55929 🔍	2021-22 🔍	756,000.00
<input type="checkbox"/>	2	X	KK_SEG_BD	Set Options	51000 🔍	10050 🔍	3300000 🔍	55929 🔍	2021-22 🔍	-768,000.00



Budget Exceptions

Exceeds Budget Tolerance

Budget Journal Exceptions | Budget Line Exceptions

Business Unit: OSC01 | Journal ID: 0004769121 | Journal Date: 08/25/2021

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

Maximum Rows: 100

[Search](#) | [Advanced Budget Criteria](#)

Budgets with Exceptions

1-2 of 2 | View

Budget Override | Budget Chartfields

	Details	Business Unit	Ledger Group	Exception	More Detail	Override Budget	Transfer
1	🔍	OSC01	KK_APPROP	Exceeds Budget Tolerance	More Detail	<input type="checkbox"/>	Go To ...
2	🔍	OSC01	KK_SEG	Exceeds Budget Tolerance	More Detail	<input type="checkbox"/>	Go To ...


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






Budget Exceptions

Exceeds Budget Tolerance

Budget Journal Exceptions | **Budget Line Exceptions**


Business Unit OSC01 Journal ID 0004769121  Journal Date 08/25/2021

*Line Status Error Override Transaction   


Maximum Rows More Lines Exist

Line From Line Thru

Transaction Lines with Budget Exceptions

 1-1 of 1

Line Values | **Line Chartfields** | Line Amount

Details	Line	Account	Oper Unit	Fund	Dept	Program	Class	Bud Ref
	1	50100		10050	3050000	12714		2020-21



Budget Exceptions

Exceeds Budget Tolerance

Budget Journal Exceptions | **Budget Line Exceptions**

Business Unit: OSC01 | Journal ID: 0004769121 | Journal Date: 08/25/2021

*Line Status: Error | Override Transaction | More Lines Exist

Maximum Rows: 100

Line From: | Line Thru:

Transaction Lines with Budget Exceptions

| 1-1 of 1 |

Line Values	Line Chartfields	Line Amount				
Details	Line	Monetary Amount	Currency	Foreign Amount	Foreign Currency	
<input type="button" value="Search"/>	1	-2,000,000.00	USD	-2,000,000.00	USD	



Budget Exceptions

Exceeds Budget Tolerance

Inquiry Results

Business Unit OSC01
 Ledger Group KK_SEG
 Type of Calendar Detail Budget Period
 Amounts in Base Currency USD
 Revenue Associated:

[Return to Criteria](#)

Max Rows

[Display Options](#)

Ledger Totals (2 Rows)

Budget	110,605,000.00	Net Transfers
Expense	109,103,205.22	
Encumbrance	0.00	
Pre-Encumbrance	0.00	
Budget Balance	1,501,794.78	
Associate Revenue	0.00	
Available Budget	1,501,794.78	

Budget Overview Results



Budget Exceptions

Budget Closed: Closed Period

Budget Journal Exceptions | Budget Line Exceptions

Business Unit: OSC01 | Journal ID: 0004769121 | Journal Date: 08/25/2021

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

Maximum Rows: 100

[Search](#) | [Advanced Budget Criteria](#)

Budgets with Exceptions

1-6 of 6

Budget Override		Budget Chartfields				
Details	Business Unit	Ledger Group	Exception	More Detail	Override Budget	Transfer
1	OSC01	KK_APPROP	Exceeds Budget Tolerance	More Detail	<input type="checkbox"/>	Go To ...
2	OSC01	KK_APPROP	Budget is Closed	More Detail	<input type="checkbox"/>	Go To ...
3	OSC01	KK_APPROP	Budget is Closed	More Detail	<input type="checkbox"/>	Go To ...
4	OSC01	KK_SEG	Budget is Closed	More Detail	<input type="checkbox"/>	Go To ...
5	OSC01	KK_SEG	Exceeds Budget Tolerance	More Detail	<input type="checkbox"/>	Go To ...
6	OSC01	KK_SEG	Budget is Closed	More Detail	<input type="checkbox"/>	Go To ...



Budget Exceptions

Budget Closed: Closed Period

Budget Header **Budget Lines** Budget Errors

Division of the Budget examiners determine, pursuant to the authority vested in the Director of the Budget, (i) the unreserved appropriation amount for an appropriation affiliated with given Department, Fund, Program, Account and Budgetary Reference numbers set forth in the 'Seg Unreserved' column contained in the 'Appropriation Segregation Accounts (Disbursements)' report run in the Statewide Financial System, and (ii) the amount budgeted for the specified Department, Fund and Account numbers or Department, Fund, Program and Account numbers affiliated with an appropriation as set forth in the 'Budget' column for the applicable quarter contained in the 'KK Financial Plan Status Report' run in the Statewide Financial System. Until changed by a Division of the Budget examiner, (A) the unreserved appropriation amount referred to in (i) above is equal to the amount of the affiliated appropriation, or if applicable, such lower amount currently reflected by the unreserved appropriation amount, and (B) the amount budgeted referred to in (ii) above is \$0. A certificate of approval for an appropriation affiliated with given Department, Fund, Program, Account and Budgetary Reference numbers shall be deemed to be issued by the Director of the Budget in an amount equal to the unreserved appropriation as set forth in the 'Seg Unreserved' column contained in the 'Appropriation Segregation Accounts'.

Unit OSC01 Journal ID 0004769121 Date 08/25/2021 Errors Only Budget Header Status Err
 Approval Header Status Not

[Budget Context](#) *Process Post Journal

▼ Lines

Chartfields and Amounts		Base Currency Details							
Delete	Line	Error	Approval Line Status	Ledger	Budget Period	Program	Account	Fund	Dept
<input type="checkbox"/>	2	X	Not Required	KK_SEG_BD	2020-21	12714	54000	10050	3050000
<input type="checkbox"/>	1	X	Not Required	KK_SEG_BD	2020-21	12714	50100	10050	3050000



Budget Exceptions

Budget Closed: Closed Period

Budget Journal Line Drill Down

Help

Transaction Line Identifiers

Business Unit OSC01 Journal ID 0004769121 Date 08/25/2021
Line 1

Additional Source Information

Date Posted
Budget Header Status Error
Journal Line Description Personal Service Regular

Transaction Line Details

Account	Fund Code	Department	Program Code	Budget Reference
50100	10050	3050000	12714	2020-21

Line Status Not Chk'd
Budget Date 04/01/2020
Line Amount -1,000,000.00 USD

OK



Budget Exceptions

Budget Closed: Closed Period


Unit DOH01

Journal ID 0004773219

Date 09/28/2021

Template List

Search Criteria

Obligation Date 09/28/2021 



Change Value

Inter/IntraUnit

*Process Edit Journal 

P



ct	Line	ChartField 3	Fund Affil	Currency	Amount	Budget Date
<input type="checkbox"/>	2	<input type="text"/>	60905	USD	10,309,377.19	04/05/2020 
<input type="checkbox"/>	1	<input type="text"/>	25106	USD	-10,309,377.19	04/05/2020 
<input type="checkbox"/>	4		60905	USD	-10,309,377.19	04/05/2020
<input type="checkbox"/>	3		25106	USD	10,309,377.19	04/05/2020



Budget Exceptions

Budget Closed: Lapsed Appropriation

Budget Journal Exceptions
Budget Line Exceptions

Business Unit OSC01 Journal ID 0004900751 Journal Date 08/25/2021

*Exception Type Error Override Transaction ? 🔍 🔍

Maximum Rows 100 More Budgets Exist

Search [Advanced Budget Criteria](#)

Budgets with Exceptions

☰ 🔍 1-4 of 4

Budget Override
Budget Chartfields
||▶

	Details	Business Unit	Ledger Group	Exception	More Detail	Override Budget	Transfer
1	🔍	OSC01	KK_APPROP	Budget is Closed	More Detail	<input type="checkbox"/>	Go To ... 🔍
2	🔍	OSC01	KK_APPROP	Budget is Closed	More Detail	<input type="checkbox"/>	Go To ... 🔍
3	🔍	OSC01	KK_SEG	Budget is Closed	More Detail	<input type="checkbox"/>	Go To ... 🔍
4	🔍	OSC01	KK_SEG	Budget is Closed	More Detail	<input type="checkbox"/>	Go To ... 🔍



Budget Exceptions

Budget Closed: Lapsed Appropriation

Budget Override		Budget Chartfields		>					
	Details	Business Unit	Ledger Group	Account	Fund	Dept	Program	Bud Ref	Budget Period
1		OSC01	KK_APPROP	50100	10050	3050000	12714	A202021	2021-22
2		OSC01	KK_APPROP	51000	10050	3050000	12714	A202021	2021-22
3		OSC01	KK_SEG	50100	10050	3050000	12714	2020-21	2021-22
4		OSC01	KK_SEG	51000	10050	3050000	12714	2020-21	2021-22

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



Budget Exceptions

Budget Closed: Lapsed Appropriation

Business Unit	Ledger Group	Account	Fund	Dept	Program	Bud Ref
OSC01	KK_SEG	50100	10050	3050000	12714	2020-21

▼ Budget Status

Budget Period	Status	Budget Closed		
2020-21	Default	Y	+	-
2021-22	Closed	Y	+	-

► Budget Control Options

Appropriation Attributes

	Appropriation Title	Lapse Date	Source Code	CCP Code	Activity Code	Reference Number	Loan
1	AUDIT AND CONTRO	06/30/2021	Legis				



Budget Exceptions

No Budget Exists

GL Journal Exceptions | Line Exceptions

Business Unit: CNY01 | Journal ID: 0004875760 | Journal Date: 07/01/2021

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

Maximum Rows: 100

Search | [Advanced Budget Criteria](#)

Budgets with Exceptions

Budget Override | Budget Chartfields

	Details	Business Unit	Ledger Group	Exception	More Detail	Override Budget
1	🔍	CNY01	KK_APPROP	No Budget Exists	More Detail	<input type="checkbox"/>
2	🔍	CNY01	KK_APPROP	No Budget Exists	More Detail	<input type="checkbox"/>
3	🔍	CNY01	KK_SEG	No Budget Exists	More Detail	<input type="checkbox"/>
4	🔍	CNY01	KK_SEG	No Budget Exists	More Detail	<input type="checkbox"/>



Budget Exceptions

Spending Authority Over Budget

Business Unit **DHS01** Journal ID **FICDHS0004** Journal Date **08/**

*Exception Type **Error** Override Transaction [i](#) [🔍](#) [🔍](#)

Maximum Rows **100** More Budgets Exist

 [Advanced Budget Criteria](#)

Budgets with Exceptions

 [⏪](#)

	Details	Business Unit	Ledger Group	Exception	More Detail
1	🔍	DHS01	KK_APPROP	Spending Authority Over Budget	More Detail
2	🔍	DHS01	KK_APPROP	Spending Authority Over Budget	More Detail
3	🔍	DHS01	KK_APPROP	Spending Authority Over Budget	More Detail




Budget Exceptions

Spending Authority Over Budget

General Ledger Journal Line Drill Down

[Help](#)

Transaction Line Identifiers

Business Unit DHS01 Journal ID FICDHS0004  Date 08/25/2021
Line 1 Ledger MOD_ACCRL

Additional Source Information

Journal Line Description

Transaction Line Details

Account	Fund Code	Department	Program Code	Budget Reference
58801	21944	1160216	30359	2021-22


Line Status Error
Budget Date 08/25/2021
Line Amount -7,337.97 USD







Budget Exceptions

DOB Spending Plan

GL Journal Exceptions | Line Exceptions



Business Unit DOC01 Journal ID 0004899337  Journal Date 08/24/2021

*Exception Type  Override Transaction   


Maximum Rows More Budgets Exist

 [Advanced Budget Criteria](#)

Budgets with Exceptions

  ◀ ▶

Budget Override | Budget Chartfields ||▶

	Details	Business Unit	Ledger Group	Exception	More Detail	Override Budget
1		DOC01	KK_PLANA2	Exceeds Budget Tolerance	More Detail	<input type="checkbox"/>



Budget Exceptions

Agency Ledger

GL Journal Exceptions | Line Exceptions

Business Unit PRK01 | Journal ID LP04900049 | Journal Date 08/24/2021

*Exception Type Error | Override Transaction | More Budgets Exist

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

Budgets with Exceptions

1-2 of 2

Budget Override | Budget Chartfields

	Details	Business Unit	Ledger Group	Exception	More Detail	Override Budget	Tran
1	<input type="button" value="Search"/>	PRK01	KK_AG19	Exceeds Budget Tolerance	More Detail	<input type="checkbox"/>	Go
2	<input type="button" value="Search"/>	PRK01	KK_AG19	Exceeds Budget Tolerance	More Detail	<input type="checkbox"/>	Go

| | | |



Budget Exceptions

Project Ledger

GL Journal Exceptions | Line Exceptions

Business Unit: CFS01 | Journal ID: FICCF0001 | Journal Date: 08/25/2021

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

Maximum Rows: 100

| [Advanced Budget Criteria](#)


Budgets with Exceptions





Budget Override		Budget_Chartfields				
Details	Business Unit	Ledger Group	Exception	More Detail	Override Budget	
1	CFS01	KK_PRJC	Exceeds Budget Tolerance	More Detail	<input type="checkbox"/>	
2	CFS01	KK_PRJC	Exceeds Budget Tolerance	More Detail	<input type="checkbox"/>	
3	CFS01	KK_PRJP	Exceeds Budget Tolerance	More Detail	<input type="checkbox"/>	
4	CFS01	KK_PRJP	Exceeds Budget Tolerance	More Detail	<input type="checkbox"/>	



Budget Exceptions

Required Chartfield is Blank




Business Unit DHS01 Journal ID FICDHS0004  Journal Date 08/25/2021


*Exception Type  Override Transaction   



Maximum Rows More Budgets Exist

 [Advanced Budget Criteria](#)

Budgets with Exceptions

  1-58 of 58 

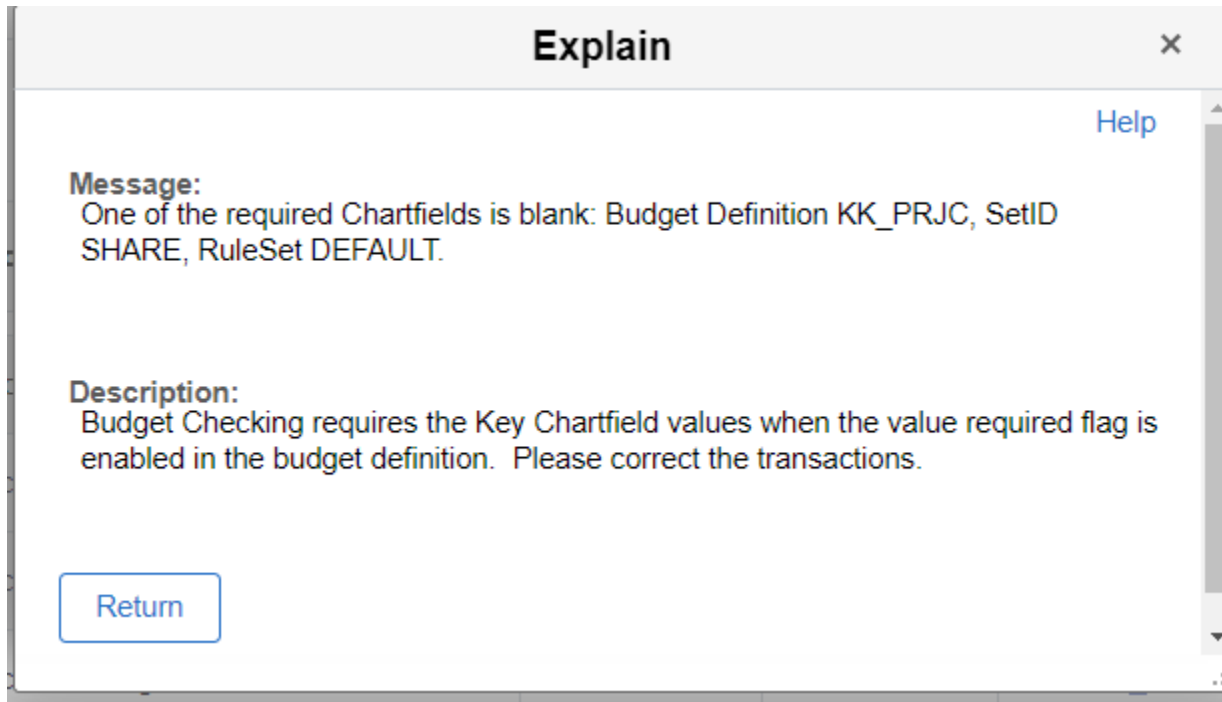
Budget Override Budget Chartfields 

	Details	Business Unit	Ledger Group	Exception	More Detail	Override Budget	Transfer
28		DHS01	KK_PRJC	Required key CF is blank	More Detail	<input type="checkbox"/>	Go To ... 



Budget Exceptions

Required Chartfield is Blank



Budget Exceptions

Insufficient Cash

List Explorer

View Reports For

Folder Instance to
Name Created On Last 10 Hours

Reports

1-3 of 3 | [View 50](#)

	Report	Report Description	Folder Name	Completion Date/Time	Report ID	Process Instance
1	NY_INTRA_JRN	INTRA JOURNALS	General	09/03/21 8:19AM	16757537	18758568
2	NY_INTRA_JRN	INTRA JOURNALS	General	09/03/21 10:17AM	16758738	18759979
3	NY_INTRA_JRN	INTRA JOURNALS	General	09/03/21 12:18PM	16760238	18761885

List | Explorer



Budget Exceptions

Insufficient Cash

Intrafund Journal Errors

There are 2 intrafund journal errors:

Doc Ref Num	Business	Journal Id	Journal Li	Journal D	Unpost Se	Fund Cod	Amount	Error Message
000E9998260000670633	SNY01	E999826	1	8/2/2018	0	61020	(946,343.12)	E1 - Exceeds Budget Tolerance
000E9998280000670635	SNY01	E999828	1	8/2/2018	0	61020	(317,722.93)	E1 - Exceeds Budget Tolerance



Budgets and Spending Section Contact

For questions related to the information just presented, email Appropriations@osc.ny.gov

Prior year's Fall Conference presentation location: OSC website/State Agencies/Training Resources for State Agencies and Employees - <https://www.osc.state.ny.us/state-agencies/training>



