



## **Training Guide**

### **Transfers**

v. July 2017

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## 1. TRANSFER MODULE BASICS

### What is the uPlan Transfer used for?

uPlan's Transfer module is used to transfer budget allocations between department and budgeted programs. Alternatively, it is used for the (re)allocation of spending authority within or between faculties/units. The transfer module applies only to funds 100 and 210.

Transfers can only be done within the following three budget allocation accounts:

- Base Allocation (430000)
- Temp Allocation (430010)
- Flex Allocation (430020)

### How does the Transfer module work?

Budget allocation transfers consists of three primary steps.

#### i. Authorization

Consistent with financial practices, a transfer form will be available for Faculties and Units to use to manage the authorization and documentation of budget allocation transfers.

#### ii. Outgoing Transfer

From your deptID/program, send an allocation to a Named Entity. The named entity can be yourself or another faculty/unit. A Named Entity represents a Faculty or Unit, for example 'Science\_Transfer'.

- \* A **Named Entity** consists of authorized end-user(s) to manage the allocation or re-allocation of base/temp/flex on behalf of the entire faculty/unit. All authorized end-users share the same Named Entity identity.

#### iii. Incoming Transfer

Go to "holding area" to view an incoming budget allocation amount, and direct to specific deptID/program combination(s) within your faculty/unit.

### What is the timing of Transfer?

Transfers will occur on a monthly cycle. At the end of each month, all changes to the balances of the three allocation accounts will be reflected in:

- uPlan Forecast as a YTD actual
- PS General Ledger (actual)
- Revised Budget in PS

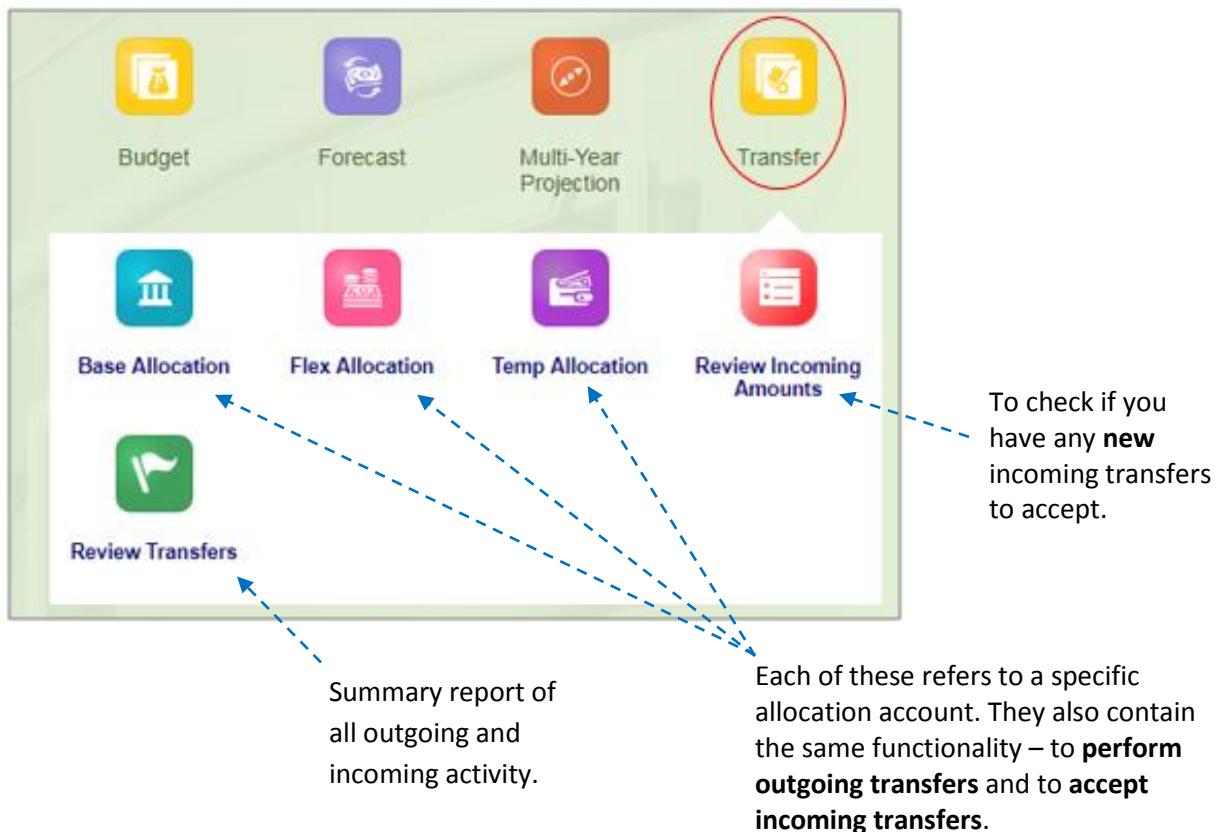
Base allocations can be transferred until early Fall, meaning uPlan will be closed for base allocations adjustments. This allows for preparation of uPlan the following year's budget. The specific date will be finalized and communicated.

uPlan will be open for transfers of Temporary and Flex allocations until late March.

## 2. OVERVIEW OF uPLAN TRANSFER MODULE

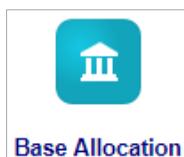
Security controls are applied to the transfer module as per each faculty/units' approved uPlan security forms. Senior Financial Officers can contact [uPlan@ualberta.ca](mailto:uPlan@ualberta.ca) if a security change is required.

Opening the **Transfer** Cluster expands further into five separate cards.



For illustrative purposes, only the 'Base Allocation' forms will be referenced for training.

a. Base Allocation



The Base Allocation card is used to action transfers. The two primary actions are:

1. Outgoing Transfer - Transfer base allocation to a Named Entity
  2. Incoming Transfer - Accept a base allocation from a Named Entity, i.e. distribute to your detpID/program code

**i. Outgoing Transfer Form**

Outgoing Transfer		Incoming Transfer		T1.1 BASE Budget Allocation- Outgoing					
Years	Version	Fund	Department	Program					
2017-2018	Working	F210 - Operating	D900000-Hyperion Test 0	Program 0 (No Program)					
		Allocation--Base		Allocation--Base		Select Receiver--Base	Comments--Base		
		<input checked="" type="checkbox"/> YTD-July		July		July	July		
-> Central Allocation		Transfer 1	1,000,000						
-> Outgoing Budget Allocation		Transfer 1	(10,000)	(10,000)	ALES_Transfer	Send to ALES from 900000 P0 for Salary ba			
		Transfer 2	(100,000)	(100,000)	ARTS_Transfer	Send to ARTS from 210-D900000-P0 to cov			
		Transfer 3	(20,000)	(20,000)	Business_Transfer	Sent from F210-D900000-P0 to F210-D900			
-> Incoming Budget Allocation		Transfer 1	75,000	75,000					
		Transfer 2	12,000	12,000					
Amount Remaining		Total	957,000	(43,000)					
Outgoing Budget Allocation		Enter Transfer							

**Central Allocation** is the initial balance loaded to by central.

**Outgoing Budget Allocation**  
lists outgoing transfers from  
the department and program.

**Incoming Budget Allocation** - lists the amounts accepted by the department and program.

**Amount Remaining** reflects the balance available for outgoing transfers. Note this is the net sum of all Central Outgoing and Incoming allocations.

The above form can also be expanded to view prior month's activity by clicking on the '+' sign in the column header.

[Outgoing Transfer](#) | [Incoming Transfer](#) | [Review Transfers](#)

## T1.1 BASE Budget Allocation- Outgoing i

Years 2017-2018	Version Working	Fund F210 - Operating	Department D900000-Hyperion Test 0	Program Program 0 (No Program)								
		Allocation--Base						Allocation-- Base	Select Receiver-- Base	Comments--Base		
		BegBalance	April	May	June	July	<input checked="" type="checkbox"/> YTD-July			July	July	
Central Allocation	Transfer 1	1,000,000					1,000,000					
Outgoing Budget Allocation	Transfer 1				(10,000)	(10,000)	(10,000)	ALES_Transfer	Send to ALES from 900000 P0 for Salary backfill fun			
	Transfer 2				(100,000)	(100,000)	(100,000)	ARTS_Transfer	Send to ARTS from 210-D900000-P0 to cover emplo			
	Transfer 3				(20,000)	(20,000)	(20,000)	Business_Transfer	Sent from F210-D900000-P0 to F210-D900001-P0 f			
Incoming Budget Allocation	Transfer 1				75,000	75,000	75,000		Receiving funds from Provost to cover new hire			
	Transfer 2				12,000	12,000	12,000		Received from F210-D900012-P0 for project XYZ to			
Amount Remaining	Total	1,000,000			(43,000)	957,000	(43,000)					
Outgoing Budget Allocation	Enter Transfer											

## ii. Incoming Transfer Form Layout

The Incoming Transfer form displays any incoming transfers that a faculty or support unit may have outstanding. These transfers are represented as holding balances. Note that:

- As holding balances, the allocations are NOT associated with any deptID or program code.
- Balances need to be cleared each month**, i.e. distribute to a specific deptID and program code combination(s).
- If there are no Bae holding balances, users will not see any data in this form.

Outgoing Transfer		Incoming Transfer				
			T2.1 BASE Budget Allocation- Incoming			i
Years 2017-2018	Version Working	User ALES				
			Allocation--Base	Source of Transfer--Base		Comments--Base
			July	July	July	
F210 - Operating	Incoming Budget Allocation	Transfer 1	10,000	kpredy@ualberta.ca	Send to ALES from 900000 PO for Salary backfill f	
F210 - Operating	Amount Remaining	Total	10,000			

The value of base allocation in your holding area to be distributed to specific deptID/program code combination(s).

## b. Review Incoming Amounts



Review Incoming  
Amounts

The **Review Incoming Amounts** card displays any incoming transfers that a faculty or support unit may have in any of the three Allocation accounts. Sample below. If there are no holding balances, users will not see any data in a column.

Through this review form, a faculty/unit can easily see if they have base, flex or temp allocations that need to be distributed (cleared) by month end to a department and program.

T0 Review Incoming Transfers						
Years 2017-2018	Version Working	Scenario	LineItem Total	Department Select Department	Program Select Program	
		Allocation--Base		Allocation--Flex		Allocation--Temporary
		July		July		July
F210 - Operating	ALES	4,000		700	15,000	
	ARTS			1,000		

### c. Review Transfers



#### Review Transfers

The **Review Transfers** card is comprised of two read-only forms that allow users to view processed transfers for the three Allocation Accounts (Base, Temp and Flex) in the current fiscal year.

##### i. Review Historic Transfers

Allows for the review of transfer:

- by program of a particular fund and department
- for each allocation account (base, temp and flex)

T3.4 Review Historic Transfers		T3.5 Review Transfers for all Departments					
Years 2017-2018	Version Working	Fund F210 - Operating	Department D900000-Hyperion Test 0				
Allocation- Base	Comments--Base	Allocation-- Temporary	Comments--Temp				
Allocation- Flex	Comments--Flex						
Program 0	BegBalance	Central Allocation	Transfer 1	1,000,000			
July	Central Allocation	Transfer 1					
		Outgoing Budget Allocation	Transfer 1	(10,000)	Send to ALES from 900000 P0 for Salary backfill funding		
			Transfer 2	(100,000)	Send to ARTS from 210-D900000-P0 to cover employee XYZ		
			Transfer 3	(20,000)	Sent from F210-D900000-P0 to F210-D900001-P0 for conference funding		
	Incoming Budget Allocation	Transfer 1	75,000	Receiving funds from Provost to cover new hire			
		Transfer 2	12,000	Received from F210-D900012-P0 for project XYZ to F210-D900000-P0			

## ii. Review Transfer for all Departments

- Allows the review of all transfers in all departments and programs for either fund 100 or 210.
- The form displays all departments and programs within the user's security access.
- Departments and Programs are labelled and identified as a separate column.

T3.4 Review Historic Transfers   T3.5 Review Transfers for all Departments											
T3.5 Review Transfers for all Departments ⓘ											
Years 2017-2018	Version Working	Fund F210 - Operating				Allocation-- Base	Comments--Base	Allocation-- Temporary	Comments--Temp	Allocation-- Flex	Comments--Flex
D900000-Hyperion Test 0	Program 0	BegBalance	Central Allocation	Transfer 1		1,000,000		0			
										150,000	
						(10,000)	Send to ALES from 900000-P0 for Salary backfill funding				
						(100,000)	Send to ARTS from 210-D900000-P0 to cover employee XYZ				
						(20,000)	Sent from F210-D900000-P0 to F210-D900001-P0 for conference funding				
						75,000	Receiving funds from Provost to cover new hire				
						12,000	Received from F210-D900012-P0 for project XYZ to F210-D900000-P0				
D900001-Hyperion Test 1	Program 0	BegBalance	Central Allocation	Transfer 1		1,000,000					
		July	Central Allocation	Transfer 1						150,000	
D900002-Hyperion Test 2	Program 0	BegBalance	Central Allocation	Transfer 1		1,000,000					
		July	Central Allocation	Transfer 1						150,000	

### 3. PERFORMING AN OUTGOING TRANSFER

For illustration, the following uses the Base Allocation. Performing an outgoing transfer of Flex and Temp is similar.

**Step 1:** Select the **source** (deptID and program) of the base allocation using the chartfield selector, or edit member.

The screenshot shows the 'T1.1 BASE Budget Allocation-Outgoing' interface. At the top, there are five tabs: 'Base Allocation' (selected), 'Flex Allocation', 'Temp Allocation', 'Review Incoming Amounts', and 'Review Transfers'. Below the tabs, the title 'T1.1 BASE Budget Allocation- Outgoing' is displayed. The header includes fields for 'Years 2017-2018', 'Version Working', 'Fund F210 - Operating', 'Department D900000-Hyperion Test 0', 'Program Program 0 (No Program)', and buttons for 'Actions', 'Save', and 'Refresh'. The main table has columns for 'Allocation--Base', 'Allocation--Base', 'Select Receiver--Base', and 'Comments--Base'. A row for 'YTD-July' is shown with values July, July, and July. The table lists transfers under 'Central Allocation', 'Outgoing Budget Allocation', and 'Incoming Budget Allocation'. The 'Outgoing Budget Allocation' section shows a transfer from 'Enter Transfer' to '5,000'. A dashed arrow points from the 'Review Incoming Amounts' tab at the top to the 'Allocation--Base' column in the table, and another dashed arrow points from the 'Review Transfers' tab to the 'Comments--Base' column.

		Allocation--Base	Allocation--Base	Select Receiver--Base	Comments--Base					
[+ YTD-July]		July	July	July						
Central Allocation	Transfer 1	1,000,000								
Outgoing Budget Allocation	Transfer 1	(10,000)	(10,000)	ALES_Transfer	Send to ALES from 900000 P0 for Salary backfill funding					
	Transfer 2	(100,000)	(100,000)	ARTS_Transfer	Send to ARTS from 210-D900000-P0 to cover employee XYZ					
	Transfer 3	(20,000)	(20,000)	Business_Transfer	Sent from F210-D900000-P0 to F210-D900001-P0 for conference funding					
Incoming Budget Allocation	Transfer 1	75,000	75,000		Receiving funds from Provost to cover new hire					
	Transfer 2	12,000	12,000		Received from F210-D900012-P0 for project XYZ to F210-D900000-P0					
Amount Remaining	Total	957,000	(43,000)							
Outgoing Budget Allocation	Enter Transfer		5,000							

**Step 2:** Enter the amount of base allocation to be transferred.

Notes:

- Base allocation transfers can only be positive. The system will take the absolute value of any number entered.
- You cannot transfer more than is available in the selected deptID/program, \$957,000 in this example.
- The minimum transfer value is \$100

**Step 3:** Select the recipient of the transfer.

- a. Click the bottom of **Select Receiver -- Base** column, and click on the drop-down menu as indicated below.
- b. From the pop-up window, select the recipient
  - You can select “yourself” as the recipient if your intention is to transfer base allocation between deptID/program combinations.

		Allocation--Base	Allocation--Base	Select Receiver--Base	Comments--Base
		YTD-July	July	July	July
Central Allocation	Transfer 1	1,000,000			
Outgoing Budget Allocation	Transfer 1	(10,000)	(10,000)	ALES_Transfer	Send to ALES from 900000 P0 for Salary backfill fun
	Transfer 2	(100,000)	(100,000)	ARTS_Transfer	Send to ARTS from 210-D900000-P0 to cover emplo
	Transfer 3	(20,000)	(20,000)	Business_Transfe	Sent from F210-D900000-P0 to F210-D900001-P0 fo
Incoming Budget Allocation	Transfer 1	75,000	75,000		Receiving funds from Provost to cover new hire
	Transfer 2	12,000	12,000		Received from F210-D900012-P0 for project XYZ to
Amount Remaining	Total	957,000	(43,000)		
Outgoing Budget Allocation	Enter Transfer		5,000	ARTS_Transfer	

Entries

Search [ ]

Name

Clear User

ALES\_Transfer

**ARTS\_Transfer**

Augustana\_Transfer

Business\_Transfer

**Step 4:** Complete Comments field.

This becomes the documentation for the transfer. As such, it will need to have **sufficient details** for your internal tracking. For example, source of funding, where it is going to and the purpose.

Incoming Budget Allocation	Transfer 1	75,000	75,000	Receiving funds from Provost to cover new hire
	Transfer 2	12,000	12,000	Received from F210-D900012-P0 for project XYZ
Amount Remaining	Total	957,000	(43,000)	
Outgoing Budget Allocation	Enter Transfer		5,000	ARTS_Transfer

From 654321-0 to ARTS to hire summer student.

Save Cancel

Click **Save** after completing comments.

**Step 5:** Review the details of the outgoing transfer. To action the transfer, click on **Save**

**Step 6: Advise the recipient** they have been transferred an allocation.

Particularly, if the recipient is another faculty or unit, - they will need to action the transfer by distribution within their deptID/program. See below section.

#### 4. ACCEPTING AN INCOMING TRANSFER

Accepting a transfer is the process of directing the allocation from your holding area to a specific deptID and program combination(s).

From the Base Allocation card, select 'Incoming Transfer'. The form displays a summary of the month's transfer activity for entity.

In the below example, Business has \$8,000 in its holding area the need to be distributed to a deptID/program code combination(s).

The screenshot shows the 'Outgoing Transfer | Incoming Transfer' screen. At the top, there are five navigation icons: 'Base Allocation' (selected), 'Flex Allocation', 'Temp Allocation', 'Review Incoming Amounts', and 'Review Transfers'. Below the icons, the title 'T2.1 BASE Budget Allocation-Incoming' is displayed with a help icon. A table follows:

Years	Version	User			
2017-2018	Working	Business	Allocation--Base	Source of Transfer--Base	Comments--Base
			July	July	July
F210 - Operating	Incoming Budget Allocation	Transfer 1	20,000	jcchu@ualberta.ca	Sent from F210-D900000-P0 to D900001-P0 for conference fu
	Outgoing Budget Allocation	Transfer 1	(12,000)		Received from F210-D900012-project XYZ to F210-D900000-
F210 - Operating	Amount Remaining	Total	8,000		

To distribute, say \$5,000 of the balance:

**Step 1:** Right-click on the \$8,000. From the pop-up window, select 'Allocation Release – Base'

The screenshot shows the same 'Outgoing Transfer | Incoming Transfer' screen as above. A context menu is open over the '\$8,000' value in the 'Total' row of the table. The menu items are: 'Allocation Release - BASE' (circled in red), 'Edit', 'Adjust', 'Comments', 'Supporting Detail', 'Change History', 'Attachments', 'Lock/Unlock Cells', and 'Analyze'.

Years	Version	User			
2017-2018	Working	Business	Allocation--Base	Source of Transfer--Base	Comments--Base
			July	July	July
F210 - Operating	Incoming Budget Allocation	Transfer 1	20,000	jcchu@ualberta.ca	Sent from F210-D900000-P0 to D900001-P0 for conference fu
	Outgoing Budget Allocation	Transfer 1	(12,000)		Received from F210-D900012-project XYZ to F210-D900000-
F210 - Operating	Amount Remaining	Total	8,000		

**Step 2:** The following window will open to complete the transfer.

The screenshot shows a software interface titled "T02.BR\_TransferIn\_AllocBase". It contains four input fields: "Amount to be transferred" with the value "5000", "Select Department" with the value "SeleDept", "Select Program" with the value "SeleProg", and "Enter Line Item Comment" which is empty. At the top right are two buttons: "Launch" and "Cancel".

Complete the four fields as follows:

- a. Enter the **Amount to be transferred**

- b. **Select Department** by clicking on  to the right of this field.

This will open the 'Select a Member' window for you to choose the deptID.

- c. **Select Program** by clicking on  to the right of this field.

This will open the 'Select a Member' window for you to choose the program code.

- d. In the Comment box, type in details on the transfer.

This becomes the formal documentation for the transfer. As such, it will need to have **sufficient details for your internal tracking**.

E.g. *\$5,000 base from 700500-0 to 700800-0 for salary supplement on Position X.*

- e. Review the transfer detail. To complete the transfer click on 