

# FY-2016 Budget Instructions

Last revised in total Aug. 20, 2014

As Project ENCORE is underway and the state is implementing Hyperion, our budget instructions will be evolving over the next year to encompass what were the Budget Request Instructions as well as the Budget Work Program (BWP) Instructions. For the FY-2016 Budget Request, these instructions are Version 1. As we approach the FY-2016 budget work program season, expect an updated version to accommodate the budget work program.

Hyperion packages Budget Work Program, Budget Request and Strategic Plan in one location. Forms such as Form 47, Federal Funds and Fee Schedules will be included in budget preparation within Hyperion instead of submitting separate forms. Budgetary timelines and statutory requirements remain the same. Agencies will enter Budget Requests for the Oct. 1 statutory deadline, and then will modify the current year budget to accommodate any changes for the upcoming fiscal year before submitting final BWP.

In Hyperion, there is a task list designed to walk you through the budget request and strategic planning process. Please review the ENCORE manual located at [http://www.ok.gov/OSF/Project\\_ENCORE/Training/index.html](http://www.ok.gov/OSF/Project_ENCORE/Training/index.html) for a more detailed guide of how to navigate the system.

For the Oct. 1 deadline for your FY-2016 Budget Request, you will only be required to complete tasks in Hyperion that are required by statute. The tasks required for the Oct. 1 submission are as follows:

- Hyperion task 2, Read Budget Request Instructions;
- Hyperion task 3, Provide or verify Agency Information;
- Hyperion task 4, Provide Agency Program Information;
- Hyperion task 7, Identify Legislation Needs;
- Hyperion task 8, Operational Decision Package;
- Hyperion task 11, Submit Budget for Approval; and
- Strategic Planning – all sections, as strategic plans are due this year.

Between Oct. 1 and the end of the calendar year, Office of Management and Enterprise Services (OMES) budget and performance analysts will work with your agency to enter your FY-2016 operating budget by statewide program. This will give agencies and OMES time to collaborate on dollars associated with statewide programs without overburdening the workload for the month of September. The tasks above represent the statutorily required components of agency budget requests. Budgeting by statewide program will require a shift in how you think about your budget. OMES anticipates that the transition to performance informed budgeting will be a multi-

year process. If you have questions about which agency programs support the following statewide programs, please contact your OMES budget analyst.

### BUDGET WORK SESSIONS

A number of "come and go" budget work sessions are scheduled for September. These sessions are available for you to work on your agency budget request and strategic plan in the Hyperion system. OMES budget staff and technical team will be on site to assist you should you have questions.

**Days:** Sept. 2 – 4; 8-11; 15 – 19; 22 – 26; and 29 – 30

**Hours:** 9 a.m.-4 p.m.

**Locations:** Will Rogers and Jim Thorpe buildings

Once you know the day(s) of the work session(s) that you plan to attend, please email your OMES budget analyst. They will let you know to which training room you will be assigned.

### STATEWIDE PROGRAMS

For the FY-2016, the state is transitioning from a line-item budgeting process to a statewide program budget. Below is information about each statewide goal, topic and program so you may begin to explore how your agency's budget supports any of the following statewide programs.

#### Statewide Goals & Topics

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## **GOAL: HEALTHY CITIZENS & STRONG FAMILIES**

### **TOPIC: WELLNESS**

#### **STATEWIDE PROGRAM: MATERNAL & INFANT HEALTH**

**Description:** Refers to the efforts that the State of Oklahoma is making to improve the physical and mental health, safety, and well-being of Oklahoma mothers and their infants.

#### **STATEWIDE PROGRAM: OBESITY**

**Description:** Refers to the efforts that the State of Oklahoma is making to both promote healthy nutrition and physical activity behaviors and improve health outcomes related to overweight and obesity.

#### **STATEWIDE PROGRAM: TOBACCO USE**

**Description:** Refers to the efforts that the State of Oklahoma is making to prevent tobacco initiation and reduce existing use of tobacco products.

### **TOPIC: PREVENTION**

#### **STATEWIDE PROGRAM: PRESCRIPTION DRUG & SUBSTANCE ABUSE**

**Description:** Refers to the efforts that the State of Oklahoma is making to reduce prescription drug and substance abuse.

#### **STATEWIDE PROGRAM: IMMUNIZATION & INFECTIOUS DISEASE**

**Description:** Refers to the efforts that the State of Oklahoma is making to safeguard Oklahomans from infectious and vaccine-preventable disease.

#### **STATEWIDE PROGRAM: ABUSE & INJURY**

**Description:** Refers to the efforts that the State of Oklahoma is making to protect its citizens from personal harm and ensure they reach their optimal lifespans.

#### **STATEWIDE PROGRAM: FOOD & WATER SAFETY**

**Description:** Refers to the efforts that the State of Oklahoma is making to provide citizens with the safest, most affordable food supply and public drinking water, in order to protect the public from food and waterborne illnesses.

### **TOPIC: ACCESS**

#### **STATEWIDE PROGRAM: HEALTH SERVICES**

**Description:** Refers to the efforts that the State of Oklahoma is making to ensure access to affordable, quality health care in order to improve health outcomes for its citizens.

#### **STATEWIDE PROGRAM: BEHAVIORAL HEALTH**

**Description:** Refers to the efforts that the State of Oklahoma is making to provide access to quality mental health treatment and awareness of mental health topics.

#### **STATEWIDE PROGRAM: CHILD WELFARE SERVICES**

**Description:** Refers to the efforts that the State of Oklahoma is making to provide a safe environment for children to live, learn, and grow with their families.

#### **STATEWIDE PROGRAM: AGING SERVICES**

**Description:** Refers to the efforts that the State of Oklahoma is making to support independence and protect the quality of life for the elderly.

### **GOAL: SAFE CITIZENS & SECURE COMMUNITIES**

#### **TOPIC: PUBLIC PROTECTION**

##### **STATEWIDE PROGRAM: CORRECTIONS**

**Description:** Refers to the efforts that the State of Oklahoma is making to ensure safe and secure incarceration of offenders, and provide opportunities for rehabilitation and reintegration to reduce recidivism.

##### **STATEWIDE PROGRAM: INFRASTRUCTURE**

**Description:** Refers to the efforts that the State of Oklahoma is making to provide a safe and efficient transportation network and effective functioning of water impoundment structures.

##### **STATEWIDE PROGRAM: EMERGENCY MANAGEMENT**

**Description:** Refers to the efforts that the State of Oklahoma is making to prepare for, respond to, recover from, mitigate against, and prevent any natural or man-made disasters.

#### **TOPIC: LAW ENFORCEMENT**

##### **STATEWIDE PROGRAM: CRIME**

**Description:** Refers to the efforts that the State of Oklahoma is making to protect against and respond to violent and non-violent crime.

## **STATEWIDE PROGRAM: NARCOTICS**

**Description:** Refers to the efforts that the State of Oklahoma is making to reduce the availability, sale, demand, and use of illegal narcotics and educate the public on drug use and prevention.

## **STATEWIDE PROGRAM: TRAFFIC SAFETY & IMPAIRED DRIVING**

**Description:** Refers to the efforts that the State of Oklahoma is making to reduce the number and severity of traffic accidents, while maintaining a safe driving environment.

## **TOPIC: ENVIRONMENTAL STABILITY**

### **STATEWIDE PROGRAM: AIR**

**Description:** Refers to the efforts that the State of Oklahoma is making to protect, preserve, and restore outdoor air quality.

### **STATEWIDE PROGRAM: WATER**

**Description:** Refers to the efforts that the State of Oklahoma is making to protect and restore its waters and aquatic life through effective management, conservation, and distribution.

### **STATEWIDE PROGRAM: LAND**

**Description:** Refers to the efforts that the State of Oklahoma is making to conserve, protect, and restore its land and related resources.

## **GOAL: EDUCATED CITIZENS & EXEMPLARY SCHOOLS**

### **TOPIC: OPPORTUNITY**

#### **STATEWIDE PROGRAM: EARLY CHILDHOOD EDUCATION**

**Description:** Refers to efforts that the State of Oklahoma is making to ensure that children have the opportunity to develop the skills they need to learn throughout early childhood.

#### **STATEWIDE PROGRAM: NEED-BASED AID**

**Description:** Refers to the efforts that the State of Oklahoma is making to provide financial support for education to students based on household income.

#### **STATEWIDE PROGRAM: SPECIAL EDUCATION**

**Description:** Refers to the efforts that the State of Oklahoma is making to provide opportunity and promote excellence in education from infancy to adulthood for citizens with disabilities.

**STATEWIDE PROGRAM: ADVANCED OFFERINGS**

**Description:** Refers to efforts that the State of Oklahoma is making to provide various course offerings to enrich academic opportunities for students.

**TOPIC: ACHIEVEMENT**

**STATEWIDE PROGRAM: HIGH SCHOOL COMPLETION**

**Description:** Refers to the efforts that the State of Oklahoma is making to support the successful completion of high school or its equivalent.

**STATEWIDE PROGRAM: COLLEGE PREPAREDNESS**

**Description:** Refers to the efforts that the State of Oklahoma is making to ensure that students are academically prepared for higher learning.

**STATEWIDE PROGRAM: WORKFORCE TRAINING**

**Description:** Refers to the efforts that the State of Oklahoma is making to support achievement in workforce training for its citizens.

**STATEWIDE PROGRAM: HIGHER EDUCATION**

**Description:** Refers to the efforts that the State of Oklahoma is making to support academic achievement in Oklahoma's State System of Higher Education.

**TOPIC: QUALITY**

**STATEWIDE PROGRAM: SCHOOL EXCELLENCE**

**Description:** Refers to the efforts that the State of Oklahoma is making to develop and maintain high-performing schools that are conducive to learning.

**STATEWIDE PROGRAM: STUDENT PERFORMANCE**

**Description:** Refers to the efforts that the State of Oklahoma is making to foster student success in the classroom.

**STATEWIDE PROGRAM: TEACHER & LEADER EFFECTIVENESS**

**Description:** Refers to the efforts that the State of Oklahoma is making to recruit, develop, and retain high-quality teachers and educational leaders.

**GOAL: PROSPEROUS CITIZENS AND THRIVING ECONOMY**

**TOPICS AND PROGRAMS FOR THIS GOAL TO BE ESTABLISHED AT A LATER DATE**

## **GOAL: EFFECTIVE SERVICES & ACCOUNTABLE GOVERNMENT**

### **TOPIC: TRANSPARENCY**

#### **STATEWIDE PROGRAM: OPEN GOVERNMENT**

**Description:** Refers to the efforts that the State of Oklahoma is making to provide its citizens with reasonable online access to information regarding state government.

#### **STATEWIDE PROGRAM: PERFORMANCE RESULTS**

**Description:** Refers to the efforts that the State of Oklahoma is making to provide its citizens reasonable online access to information regarding the progress and outcomes of Statewide Programs.

### **TOPIC: EFFICIENCY**

#### **STATEWIDE PROGRAM: ONLINE SERVICES**

**Description:** Refers to the efforts that the State of Oklahoma is making to provide efficient online services to its citizens.

#### **STATEWIDE PROGRAM: ENERGY USAGE**

**Description:** Refers to the efforts that the State of Oklahoma is making to become more efficient in its use of energy regarding state-owned assets.

#### **STATEWIDE PROGRAM: GOVERNMENT-WIDE SOLUTIONS**

**Description:** Refers to the efforts that the State of Oklahoma is making to efficiently leverage resources through enterprise-wide shared services.

#### **STATEWIDE PROGRAM: STATE PERSONNEL**

**Description:** Refers to the efforts that the State of Oklahoma is making to efficiently attract, manage, develop, and retain human capital within state government.

### **TOPIC: FISCAL RESPONSIBILITY**

#### **STATEWIDE PROGRAM: REVENUES & EXPENDITURES**

**Description:** Refers to the efforts that the State of Oklahoma is making to ensure fiscal responsibility through the efficient estimation, collection, and apportionment of revenues as well as the proper monitoring of budget execution.

#### **STATEWIDE PROGRAM: DEBTS & OBLIGATIONS**

**Description:** Refers to the efforts that the State of Oklahoma is making to ensure fiscal responsibility through the effective monitoring and management of debts and liabilities.

### **STATEWIDE PROGRAM: AUDITS & CONTROLS**

**Description:** Refers to the efforts that the State of Oklahoma is making to ensure fiscal responsibility through proper recording, regular assurance activities, and adequate internal controls.

### **THINGS TO REMEMBER**

- All non-higher education agencies will receive a separate communication from the State Comptroller regarding the provisions of HB1207 (passed by the 2011 Legislature). The instructions require that the data submission form be submitted with your budget request. Please email the completed form to your budget analyst.
- **Strategic Plans ARE due this year.**
  - NOTE: OMES has been tasked with developing a statewide strategic performance program. As part of this process, the OMES Performance and Efficiency Division will be reviewing the 2016 Agency Strategic Plans and Performance Measures. We will be evaluating and revising requirements to align with the State's planning and transparency / accountability goals as part of the next bi-annual strategic plan and performance measurements submissions. To assist OMES with the review of these plans, your agency may be called upon for clarification to ensure we have a full understanding of the plan and your agency's mission. In addition, we may provide feedback in the preparation of meeting new or revised requirements for the 2016 Strategic Plans and Performance. Please feel free to contact the Performance and Efficiency Division at (405) 521-2141 if you need further information.

Data Processing and Telecommunications Plans are no longer part of the Budget Request.

**CAPITAL OUTLAY BUDGET REQUESTS:** Capital outlay instructions were previously and separately sent to you. Your capital outlay budget requests were due July 1. If you have not submitted your capital outlay budget request, please contact the Long Range Capital Planning Commission immediately for guidance. The capital outlay budget request is also completed and submitted over the Internet. If you have questions, call the OMES Division of Capital Assets Management at (405) 522-1652.

**STRATEGIC PLANS:** The FY-2016 Budget Request must be aligned with the financial needs presented in the agency strategic plan. Both documents need to emphasize agency efforts to

prioritize agency-provided programs and services and efforts to reallocate resources to higher priority programs and needs.

It is imperative that every agency board, commission and administration review their agency mission and establish measurable goals and performance indicators for programs and services provided by the agency. Requests for funding must emphasize critical needs, those needs mandated by federal, state or judicial requirements, and investments that will result in improved efficiency and/or outcomes. In all cases, agencies need to fully consider funding for these items from the following sources:

- funds available within the existing budget
- user fees
- federal funds
- matching funds from recipients / local governments / etc.

## NAMING CONVENTIONS

Hyperion will not allow duplicate names in many chartfields/dimensions. Therefore, when adding a new fee or decision package, please use your parent-level entity (business unit) with the fee or decision package name. Once entered, the name will exist in the next year's request and BWP.

1. *Adding Fees for Training 1.11 – Identify Anticipated Fee Based Revenue:*  
When adding a new fee, please follow the naming convention below:

xxx00\_Fee\_Name

e.g. 09000\_IT\_LicenseFee

- Why? Other agencies may use the same name that you would, and Hyperion will not allow duplicate fee names. Using your parent-level entity (business unit) with the fee name will allow you to input your fee name.
- Once entered, the fee name will exist in the next year's request and BWP.

2. *Creating a Decision Package – Training package 1.29 – Operational Decision Package:*  
When adding a new decision package, please follow the naming convention below.

xxx00\_DP#\_Name

e.g. 09000\_DP1\_WellnessTobaccoCessation

3. *Creating a Decision Package – Training package 2.9.1 and 2.9.2 – Collaboration Decisions Package for Owning Agency and Shared Agency:*

- An agency may require a collaborative effort with another agency on a capital project. When this occurs, ENCORE administration will create the package for the agencies to use and set security for this need.
- When the package is added, the following convention will be used in the name, where xxx000 is the owner/primary agency, and yyy00 is the shared/secondary agency.

xxx00\_xDIV\_yyy00\_yDIV\_ProjName

e.g. 09000\_10\_58000\_91\_NewISDBldg

4. *Creating a Decision Package – Training package 2.9 – Create Decision Package for New Project:*
  - When adding a new decision package for a single agency, please follow the naming convention below.

xxx00\_DIV\_ProjName

e.g. 09000\_10\_NewBudDivOffice

## DEFINITIONS

**BR:** “Budget Request” - the presentation of your financial assumptions, needs and strategies to support your strategic plan.

**BWP:** “Budget Work Program” - the current annual operating budget for an agency.

**CORE:** the state’s enterprise resource planning software program that contains the payroll, accounting, personnel and purchasing modules.

**ISD:** “Information Services Division” - the data processing and telecommunications division of OMES. Responsibilities include data processing and telecommunications planning for the State.

**OMES:** “Office of Management and Enterprise Services”

**Performance measures:** indicators that show progress towards achieving agency goals. Performance measures consist of several different kinds of measures. These are all explained in more detail in section seven of the strategic plan instructions and in section five of the budget request instructions.

- Inputs - indicators of service efforts, such as dollar cost of the service during a period or amounts of non-monetary resources expended (e.g. amount of work time required).
- Outputs - indicators of service accomplishments, such as amount of workload accomplished
- Outcome measures - also an indicator of service accomplishments, such as a numeric indicator of program results (service quality, effectiveness, or amount or proportion of need being served).

- Efficiency measures - also known as productivity measures, these are indicators of how service efforts relate to service accomplishments.
- Key Performance Measures - significant measures for the agency that indicate anticipated agency performance during and at the end of the five-year period covered by the strategic plan
- Recurring costs vs. startup costs: “recurring” costs refers to costs that will be needed on an ongoing basis - year after year. A “startup” cost refers to one-time costs needed to initiate an effort. Often items such as equipment, vehicles and weapons are startup costs. It can also include “seed” money used to initiate a program intended to become self-supporting at a later date.

### **Hyperion-specific Definitions**

As a number of the names for dimensions/chartfields have changed in Hyperion, please use the list below to ensure clarity.

**Account:** PeopleSoft GL Accounts and additional "Budget Formulation" specific accounts in use for budgeting and planning.

**Entity:** Agency - This is an agency hierarchy. It represents data sitting in DEPT ID , rolling up to DIVISIONS , which in turn rolling up to BUs.

**Period:** Regular dimension with BegBalance, quarters, and months rolling up to quarters

**Scenario:** Category of data in the application like Actuals, budget and variance.

**Version:** Contains members to provide flexible and iterative planning cycles within a scenario, providing snapshots of data during each phase of budgeting process.

**Year:** Fiscal years; 2 previous years, 1 current year, 1 budget year + 10 future years

**Class Fund:** Funding sources by BUs available or used during the budget formulation process.

**Project:** Individual projects are represented, includes existing operating projects and new/proposed projects required for capital budgeting.

**Request:** This dimension is basically part of public sector planning and budgeting package. This helps in raising requests for projects.

**CFDA:** Catalog of Federal Domestic Assistance

**Programs:** Statewide programs are interagency programs (Cross Agency programs), as listed above, and can accommodate intragency programs to facilitate agency’s internal level of detail budgeting.

**Fund Type:** This is an attribute dimension, which will help to classify Class Fund. This dimension is tagged to Class Fund dimension.

**Decision Packages** organize an agency's additional funding requests by key objectives, programs, or projects.

- An agency may have multiple decision packages. Each package would have related requests.
- Each budget request within a decision package will be prioritized by the agency.
- An agency needing supplemental funding for the current year will create a priority 1 decision package requesting the supplemental funding.
- This correlates to the Operational Funding Request portion of the Budget Request System.

**HCP (Human Capital Planning)** is the position budgeting functionality in Hyperion. Entity contains Agency hierarchy in which data is loaded/entered at Departments (or Sub account codes in case of DHS). Departments roll up to Divisions, and Divisions roll up to Agencies.

- Position contains all the active positions – vacant as well as filled present in the HCM system
- Employees contains all the active employees in different agencies
- Current Scenario – Budget
- Current Version/Stage – Agency (Versions are “Agency Request”, “Agency BWP”)

#### **ACTIONS TO TAKE:**

- Read the Instruction Packet,
- Involve the agency Board/Commission, Cabinet Secretary, agency personnel and agency “customers” (all the “stakeholders”) in the preparation of the Budget Request,
- Review the final Budget Request with the Board/Commission and Cabinet Secretary,
- Call the appropriate OMES budget analyst if you have any problems or questions,
- Submit the Budget Request as instructed in the last section in this packet, and
- Submit them no later than Oct. 1, 2014.