

Budget Preparation Checklists

Use or adapt the checklists that follow for help in organizing your approach to NUPlans Budgeting.

Find assistance for logging in to NUPlans, navigation, layout, and security access profiles in the [FFRA Training Curriculum](#). Refer to FMS701 “NUPlans Budgeting Basics.”

Checklist – Verify the Budget Hierarchy and Budget Groupings

Budget Managers ensure that budgeting responsibility is assigned and communicated within each area.

| | Task | Web/Contributor |
|--------------------------|--|---|
| <input type="checkbox"/> | Verify the budget hierarchy for your area. <ul style="list-style-type: none"> ✓ On the NUPlans Contributor Dashboard, are all nodes present and do they align with your internal processes? ✓ In NUPlans Web, Reference folder, use the form “Export Budget Grouping Hierarchy” to export a copy of the area’s hierarchy. You see: <ul style="list-style-type: none"> ○ Chart strings assigned to each child budget grouping and the ○ Child budget groupings assigned to each parent budget grouping ○ Is the hierarchy accurate? ✓ Contact your Budget Analyst for corrections. | NUPlans Contributor Dashboard NUPlans Web Reference folder |
| <input type="checkbox"/> | Verify that security profiles align with the hierarchy and support your internal processes. <ul style="list-style-type: none"> ✓ Ensure each budgeter has access that aligns with responsibilities. ✓ Refer to Security Forms for corrections or updates. | NUPlans Contributor Dashboard NUPlans Web Administrative |
| <input type="checkbox"/> | Communicate the start of internal processes. | N/A |
| <input type="checkbox"/> | Conduct onboarding activities for new employees. | N/A |

Checklist – Verify Your Security Access Profile

Budgeters ensure their personal security access profiles support their roles and responsibilities. Refer to [Security Forms](#) for corrections or updates.

| | Task | Web/Contributor |
|--------------------------|---|--|
| <input type="checkbox"/> | Review the security access profile shown to you in NUPlans Web. | NUPlans Web |
| <input type="checkbox"/> | Review the list of budget groupings on the NUPlans Contributor Dashboard. <ul style="list-style-type: none"> ✓ Do you recognize the budget groupings and is the list complete? ✓ Do you have the permissions you need (Read, Write, Submit, Reject)? | NUPlans Contributor Dashboard |
| <input type="checkbox"/> | Review the tabs in the NUPlans Contributor budget preparation file. <ul style="list-style-type: none"> ✓ Do the tabs exist to support your role? <ul style="list-style-type: none"> ○ If you budget compensation, do you see the Compensation tabs? ○ If you budget grant expenses, do you see the Grants tab? ○ If you budget revenue and expenses on each chart string, do you see the Funds tabs? ○ Within each applicable Funds tab, do you see the chart strings and accounts for which you are responsible? | NUPlans Contributor Compensation, Grants, Fund views |

Checklist – Budgeting Compensation

Budgeting compensation may depend on accomplishing a combination of tasks below, in addition to the first, according to the needs in your area.

| | Task | Web/Contributor |
|--------------------------|---|---|
| <input type="checkbox"/> | If you have Prep File access, you may import annual job rate information from myHR to NUPlans Contributor by selecting Yes on the Import myHR Merit Data form in NUPlans Web. By default, this data does not automatically appear in Contributor. | NUPlans Web Comp Input Maintenance |
| <input type="checkbox"/> | As a timesaver, you may preselect a method for the entire budget group by using the Mass Load Comp Input form in NUPlans Web. This will <i>overwrite</i> any data entered in the Comp Input view. Therefore, Mass Load Comp Input should be used <i>before</i> doing any data entry in Comp Input. | NUPlans Web Comp Input Maintenance |
| <input type="checkbox"/> | If you have Prep File access and a centrally supported budget, review allocations and budget targets per Prep File and budget grouping. | NUPlans Web Allocations |
| <input type="checkbox"/> | Review the list of employees and pose the following questions. <ul style="list-style-type: none"> ✓ Is an employee missing who is compensated by your department(s)? ✓ Is an employee no longer compensated by your department(s)? ✓ Per employee, are funding sources correctly represented? ✓ Are vacancies correctly represented? | NUPlans Contributor Comp Input |
| <input type="checkbox"/> | Add missing chart strings to NUFinancials, as applicable, working with the Accounting Services ChartField Maintenance team. | ChartField Maintenance |
| <input type="checkbox"/> | Add grant proposals for use as funding sources in Comp Input, if applicable. | NUPlans Web Grant Proposals |
| <input type="checkbox"/> | Add accounts to chart strings intended to fund compensation, if missing. | NUPlans Web Chart String Maintenance |
| <input type="checkbox"/> | Add placeholders for recent and planned new hires. | NUPlans Web Salary Placeholders |
| <input type="checkbox"/> | Add, change, and remove funding sources per employee, as applicable. | NUPlans Contributor Comp Input |
| <input type="checkbox"/> | Add compensation data to placeholders. | NUPlans Contributor Placeholder Data |
| <input type="checkbox"/> | Review the status of employee funding sources. <ul style="list-style-type: none"> ✓ Look for statuses that read "...does not exist in NUPlans." Add the chart string and accounts only if they belong in your budget grouping. | NUPlans Contributor Comp Input and Placeholder Data |
| <input type="checkbox"/> | Budget employee compensation per funding source, by selecting a method to calculate the salary budget for the row. | NUPlans Contributor Comp Input |
| <input type="checkbox"/> | Review the summaries of employee compensation. <ul style="list-style-type: none"> ✓ Review totals per employee (Comp Totals) ✓ Review totals by fund and account (Comp Summary) ✓ Review totals by employee and fund (Comp Fund Overview) | NUPlans Contributor Comp Totals, Comp Summary, Fund Overview |
| <input type="checkbox"/> | Budget compensation in aggregate at the account level. <ul style="list-style-type: none"> ✓ For example, Overtime Pay, Temporary Wages, and Additional Pay. | NUPlans Contributor Comp Budget by Chart String |

| | Task | Web/Contributor |
|--------------------------|--|---|
| <input type="checkbox"/> | Compare the bottom-up budget estimate to allocation budget targets within the budget grouping. | NUPlans Contributor Comp Budget by Chart String |
| <input type="checkbox"/> | Adjust the bottom-up budget estimate, if applicable. <ul style="list-style-type: none"> ✓ Does budgeted salary exceed the budget target? You may enter a negative amount per account (salary breakage). ✓ Does the budgeted salary fall short of the budget target? You may add a placeholder for approved salary items. | NUPlans Contributor Comp Budget by Chart String Placeholder Data |
| <input type="checkbox"/> | View the results in NUPlans Web reports or allocation views, as appropriate. <ul style="list-style-type: none"> ✓ View totals by chart string and account in the All Funds Budget Report. ✓ View totals by account category in the Budget Summary Report. ✓ View budget targets and variances in Allocations Summary views. | NUPlans Web Reports, Allocations, Reference |

Checklist – Budgeting Revenue and Expenses

Budgeting revenue and expenses may depend on accomplishing a combination of tasks below, in addition to the first, according to the needs in your area.

| | Task | Web/Contributor |
|--------------------------|--|--|
| <input type="checkbox"/> | If you have Prep File access and a centrally supported budget, review allocations and budget targets per Prep File and budget grouping. | NUPlans Web Allocations |
| <input type="checkbox"/> | Review allocations per budget grouping, as applicable. | NUPlans Contributor Funds, Allocations |
| <input type="checkbox"/> | Review the data supporting budget preparation in each fund view, including history, current year budget, actuals, and forecasts, and next year's budget targets, as appropriate. | NUPlans Contributor Fund Views |
| <input type="checkbox"/> | Review linked-in budgeted amounts, including budgeted compensation and commitments. | NUPlans Contributor Fund views |
| <input type="checkbox"/> | Review the list of chart strings and accounts per fund. <ul style="list-style-type: none"> ✓ Is the list of chart strings complete? ✓ Are there chart strings that should be inactivated or not budgeted? | NUPlans Contributor Fund views |
| <input type="checkbox"/> | Perform Chart String Maintenance working with the Accounting Services ChartField Maintenance team as usual. <ul style="list-style-type: none"> ✓ Add new chart strings to you budget grouping (not grants). ✓ Inactivate chart strings that you do you intend to use in the future. | ChartField Maintenance |
| <input type="checkbox"/> | Change the budgeting status of chart strings, as appropriate. <ul style="list-style-type: none"> ✓ Give the status "Do Not Budget" to chart strings that you do not want to have a budget in NUFInancials next year. ✓ Flag agency chart strings that need a \$0 salary budget created, since \$0 budgets that are automatically created are for non-salary budgets only. Do this using a view in Chart String Maintenance called Create \$0 Salary Budget. | NUPlans Web Chart String Maintenance |
| <input type="checkbox"/> | Add accounts to chart strings, if missing. | NUPlans Web |
| <input type="checkbox"/> | Enter next fiscal year's revenue and expense budgets, as appropriate. <ul style="list-style-type: none"> ✓ Ensure each chart string has an appropriate source of spending authority: allocation, revenue, carry forward, etc. ✓ Enter budget amounts in the Budget Input column. ✓ Refer to the Final Budget column for the budgeted total. | NUPlans Contributor Fund views |
| <input type="checkbox"/> | Review final balances, variances, and the use or buildup of carry forward. Continue editing revenue and/or expenses as necessary. | NUPlans Contributor Fund Views |
| <input type="checkbox"/> | View the results of budgeting in NUPlans Web reports or allocation views, as appropriate. <ul style="list-style-type: none"> ✓ View totals by chart string and account in the All Funds Budget Report. ✓ View totals by account category in the Budget Summary Report. ✓ View budget targets and variances in Allocations Summary views. | NUPlans Web Reports, Allocations |
| <input type="checkbox"/> | Initiate the review. <ul style="list-style-type: none"> ✓ For more information about the review process, refer to assistance in the FFRA online training curriculum. | NUPlans Contributor Dashboard |

Checklist – Budgeting Grant Expenses

Some areas solicit estimates of grant expenses per grant project so that Internal Cost Recovery (ICR) can be calculated. Such estimates can improve financial planning for the next fiscal year.

Although grant projects may not align with fiscal years, the goal of budgeting grant expenses in NUPlans is to project spending during the next fiscal year.

| | Task | Web/Contributor |
|--------------------------|---|---------------------------------|
| <input type="checkbox"/> | Review the list of grants and pose the following questions. <ul style="list-style-type: none"> ✓ Is the list of grant projects comprehensive for the Principle Investigator (PI) or departments that you support? ✓ Are grant proposals currently in progress that are likely to be approved and active in the next fiscal year? | NUPlans Contributor Grant Input |
| <input type="checkbox"/> | Add Grant Proposals that are likely to be approved. <ul style="list-style-type: none"> ✓ You may create a grant proposal chart string within your budget grouping in NUPlans Web. ✓ Proposals are added immediately. View new proposals in NUPlans Contributor's Grant Input tab. ✓ Proposals are assigned a project ID beginning with 'GP'. | NUPlans Web Grant Proposals |
| <input type="checkbox"/> | Estimate spending that is likely within the next fiscal year timeframe. <ul style="list-style-type: none"> ✓ Enter direct expenses by category to be <i>included</i> in the calculation of Facilities and Administration (F&A). ✓ Enter direct expenses by category to be <i>excluded</i> from the calculation of F&A. | NUPlans Contributor Grant Input |
| <input type="checkbox"/> | Review the F&A percentage per project and edit percentages as appropriate. <ul style="list-style-type: none"> ✓ F&A percentages are drawn from NUFinancials at the beginning of the budget preparation season. ✓ Edit the percentage if changes have taken place since that time or if you foresee changes that will be applied to NUFinancials before the next fiscal year. ✓ As a result of grant expense budgeting, NUPlans calculates ICR and summarizes the amount on one or more designated chart strings chosen by the area finance office and Budget Managers. | NUPlans Contributor Grant Input |
| <input type="checkbox"/> | View F&A totals per budget grouping in the Indirects Report. | NUPlans Web Reports |