

Overbudget Notification & Escalation Process

There are up to 6 levels of notification/escalation if over-expenditure is not remedied on a timely basis.

Notification/Escalation Calendar

Level 1	First Day Overbudget occurs
Level 2	7 days after first notification
Level 3	14 days after first notification
Level 4	21 days after first notification
Level 5-VP	If account has been at level 4 for at least 7 days, and it's a Monday, then escalation to level 5 will occur. If it's been at least 7 days but it's not a Monday, then escalation will occur the following Monday.
Level 6-Pres	If account has been at level 5 for at least 7 days, and it's a Monday, then escalation to level 6 will occur. If it's been at least 7 days but it's not a Monday, then escalation will occur the following Monday.

- The first and second levels of notification are sent to the account manager. The first notification is sent out the very first night that the account assignment is identified as being over-expended. The manager will receive a second notification one week later if that account is still on the over-budget report.
- The escalation process begins after an account assignment has been on the report for at least 2 consecutive weeks. The manager and each subsequent manager will continue to receive notifications at each level of escalation.
- Level 3 and 4 notifications are sent to the next level in management. Level 3 is sent 7 days after the account manager has received the second notice and level 4 is one week later.
- Level 5 notification is sent to the appropriate Vice President/Provost. This notification will be sent on a Monday as long as it has been at level 4 for at least 7 days. The accounts that will be included in the Vice President's list will have been negative for a minimum of 28 days.
- Level 6 notification is sent to the President. This notification will be sent on a Monday as long as it has been at level 5 for at least 7 days. This notification is sent only after an account has been on the over- budget report for a minimum of 35 days.

The escalation is driven by fund center numbering as illustrated in the table below. Level 3 and 4 escalations will be sent to the next hierarchy in management. An internal order (such as a grant or funded program) has a master fund center on its master data record and that fund center is the record used in notification beginning at level 3 and 4.

Fund Center	Funded Program	Grant	Level 1-1st	Level 2-2nd	Level 3-3rd	Level 4-4th	Level 5-VP	President
1318121000	nr		1318121000	1318121000	1318120000	1318000000	1300000000	1*
1318120000	nr		1318120000	1318120000	1318120000	1318000000	1300000000	1*
1318000000	nr		1318000000	1318000000	1318000000	1318000000	1300000000	1*
1300000000	nr		1300000000	1300000000	1300000000	1300000000	1300000000	1*
1318121000	9000000999		9000000999	9000000999	1318120000	1318000000	1300000000	1*
		80000000XX	80000000XX	80000000XX	1318120000	1318000000	1300000000	1*

This program will be run nightly to identify over-expended budget lines or sponsored classes and initiate the notifications.

- For FM budgets (all budgets that are not grants) a budget line is the commitment item group at which budget is checked. The following budget lines will be included in the notifications: Faculty Salaries, Faculty Salaries awards, Graduate Student Salaries, Staff Salaries, Staff salaries-hourly, Staff awards, state longevity, fringe benefits, overtime/comp time pay, administrative overhead, utilities and Operating. Operating includes the total for wages, travel, M&O, work-study and capital. Faculty salaries-adjunct will not be included in the notifications at this time.
- For Grants the program identifies when personnel related sponsored classes (Classified, Faculty, Student Employee, Fringe Benefits and Unclassified) are over budget and/or the entire grant is over budget.

If at any time in the notification process an account assignment is “fixed” and is no longer over-budget, the account will be removed from the over-budget report. If the account assignment is then over-expended again, it will be put back on the over-budget report and the notification process starts over at level one notification again.

There may be a time that action has been taken to fix an account, but the over-expenditure is not cleared immediately. An example would be if incorrect costing were used on a person. Processing the PCR alone won’t fix the budget error; payroll must post in order to correct the expenditure. In cases like this, please contact the [Budget Office](#) for FM budgets and [OSP](#) for Grant budgets. Escalation can be halted while these types of actions are being processed.

Account managers, dean/directors, VPs and others assisting in the budget monitoring process may access the report in SAP using transaction ZOVERBUDGET.

This attachment shows the email subject line and information that will be included at each level of notification for each level of management.

Notifications and Escalations – Explanation

Level of Notification	Subject Line:	Information:
<i>Account Manager-Manager of the fund center, funded program or grant</i>		
Level 1	ACTION REQUIRED L1 Over budget Account XXXXXXXXXXXX	Includes every line that is over budget for a particular fund center, funded program or grant
Level 2	ACTION REQUIRED L2 Over budget Account XXXXXXXXXXXX	Exactly the same as Level 1
Level 3	ACTION REQUIRED L3 Over budget Account XXXXXXXXXXXX	Exactly the same as Level 1 and 2
Level 4	ACTION REQUIRED L4 Over budget Account XXXXXXXXXXXX	Exactly the same as Level 1 and 2
Level 5	ACTION REQUIRED L5 Over budget Account XXXXXXXXXXXX	Exactly the same as Level 1 and 2
Level 6	ACTION REQUIRED L6 Over budget Account XXXXXXXXXXXX	Exactly the same as Level 1 and 2
<i>Level 3 Manager-Manager of the funds center with the first 6 digits i.e. 1318120000</i>		
Level 3	ACTION REQUIRED L3 Over budget Account Notification	Includes every line that is over budget in your fund center Hierarchy that has been over budget for 14 days as of that day
Level 4	ACTION REQUIRED L4 Over budget Account Notification	Includes every line that is over budget in your fund center Hierarchy that has been over budget for 21 days as of that day
Level 5	ACTION REQUIRED L5 Over budget Account Notification	Includes every line that is over budget in your fund center Hierarchy that has been over budget for a minimum of 28 days as of that day
Level 6	ACTION REQUIRED L6 Over budget Account Notification	Includes every line that is over budget in your fund center Hierarchy that has been over budget for a minimum of 35 days as of that day
<i>Level 4 Manager-Manager of the funds center with the first 4 digits i.e. 1318000000</i>		
Level 4	ACTION REQUIRED L4 Over budget Account Notification	Includes every line that is over budget in your fund center Hierarchy that has been over budget for 21 days as of that day
Level 5	ACTION REQUIRED L5 Over budget Account Notification	Includes every line that is over budget in your fund center Hierarchy that has been over budget for a minimum of 28 days as of that day
Level 6	ACTION REQUIRED L6 Over budget Account Notification	Includes every line that is over budget in your fund center Hierarchy that has been over budget for a minimum of 35 days as of that day
<i>Level 5 Manager (VP)-Manager of the funds center with the first 2 digits i.e. 1300000000</i>		
Level 5	ACTION REQUIRED L5 Over budget Account Notification	Includes every line that is over budget in your fund center Hierarchy that has been over budget for a minimum of 28 days as of that day
Level 6	ACTION REQUIRED L6 Over budget Account Notification	Includes every line that is over budget in your fund center Hierarchy that has been over budget for a minimum of 35 days as of that day
<i>Level 6 Manager-President</i>		
Level 6	ACTION REQUIRED L6 Over budget Account Notification	Includes every line that is over budget that has been over budget for a minimum of 35 days as of that day

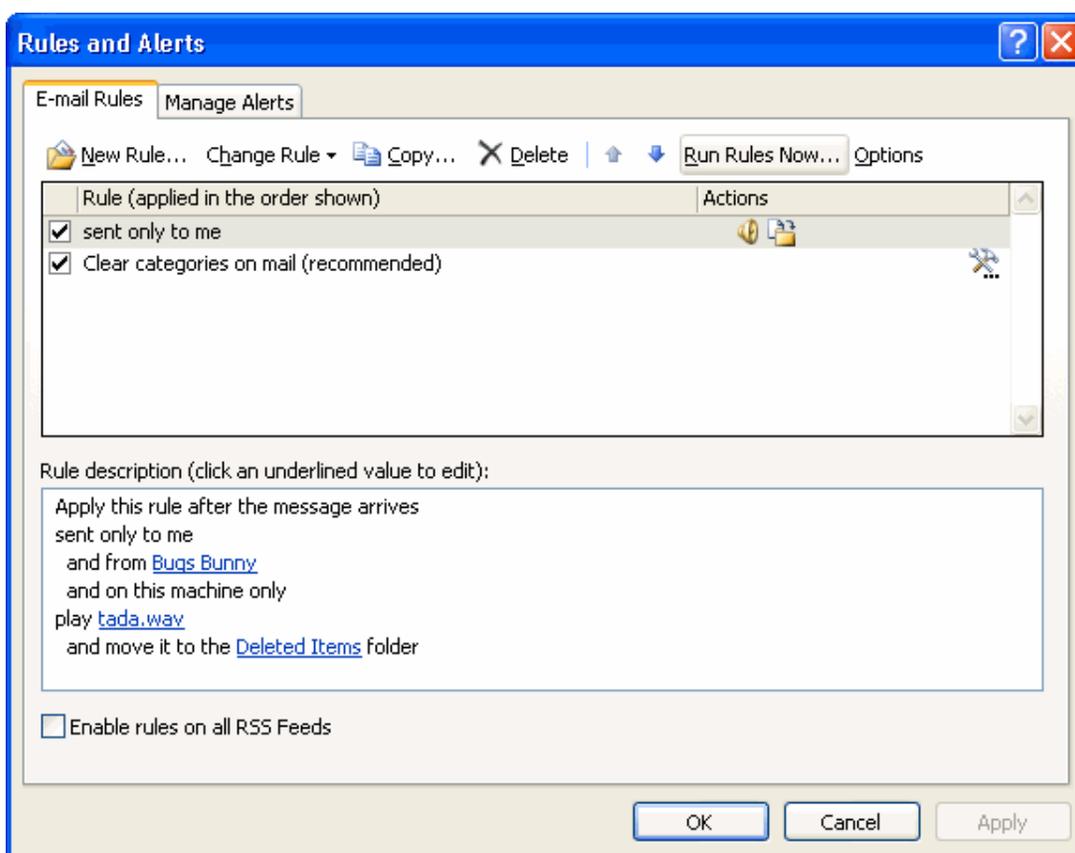
A manager may not appoint a delegate to receive the notifications. However, a rule can be set up in one's email account so that a specific person can automatically receive any budget-related email sent to a manager. Please see instructions attached or contact ITAC for assistance in setting up rules in your email system.



512.245.ITAC (4822)
itac@txstate.edu
livechat.tr.txstate.edu
MCS 262
M-F 8 a.m. - 6 p.m.

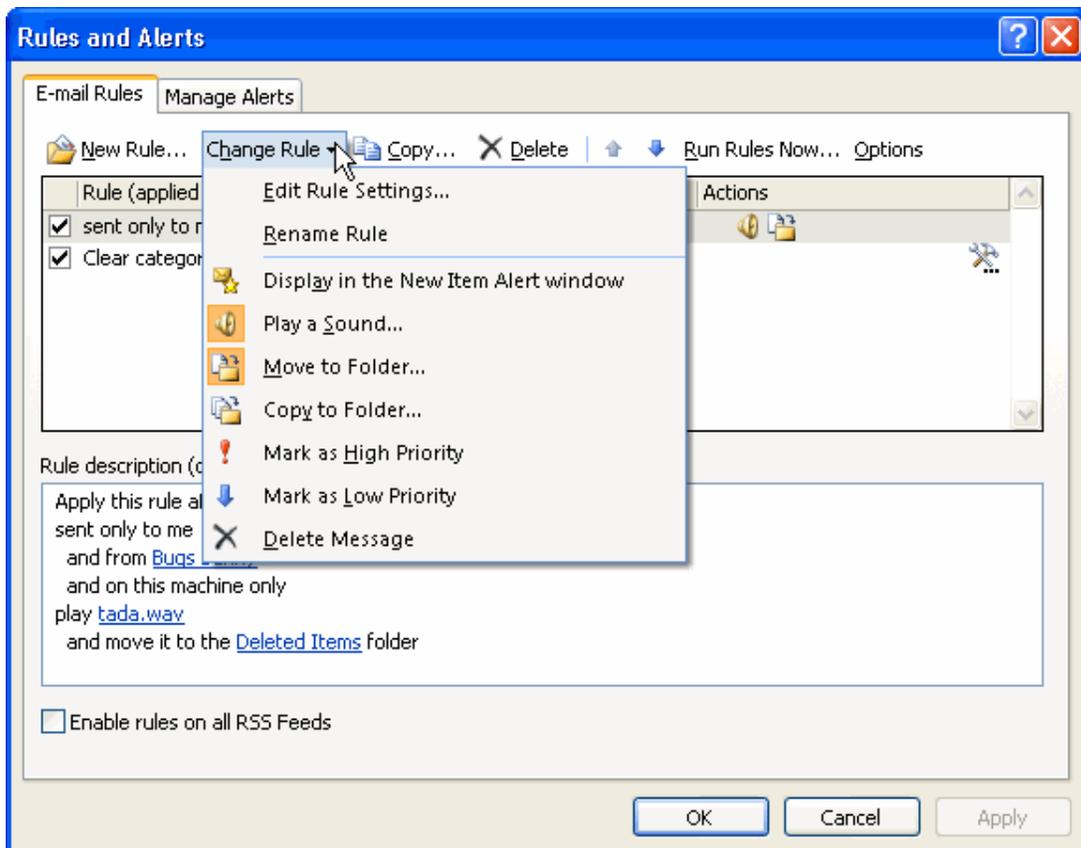
Using the Rules and Alerts Wizard

Let's look at the Rules and Alerts wizard from the beginning. To launch it, just click the Tools menu and click Rules and Alerts, or click the Rules and Alerts button () on the Advanced toolbar.



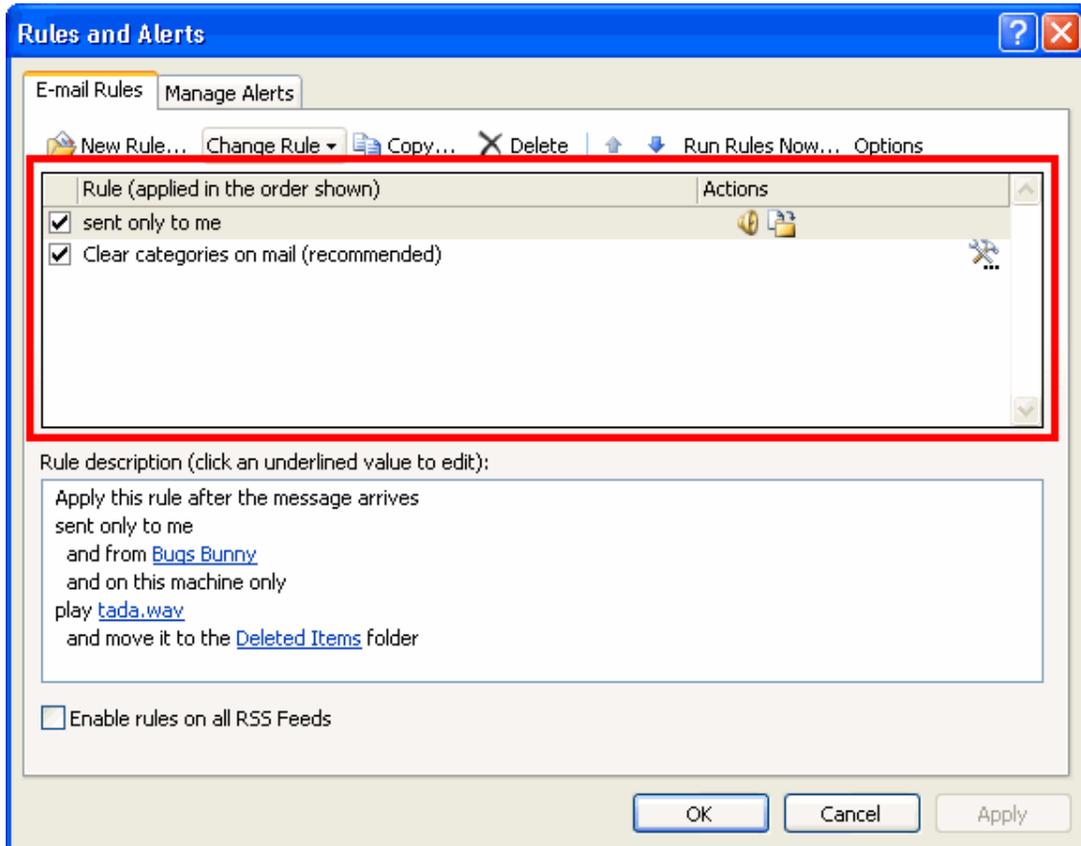
The toolbar at the top of the dialogue gives you options to create a new rule; to change, delete, copy, or move the selected rule; or to run the rule now. The Options button allows you to import, export, or upgrade your rules.

If you're just looking to make a quick change to a rule's action, the Change Rule button is the best way to do it.



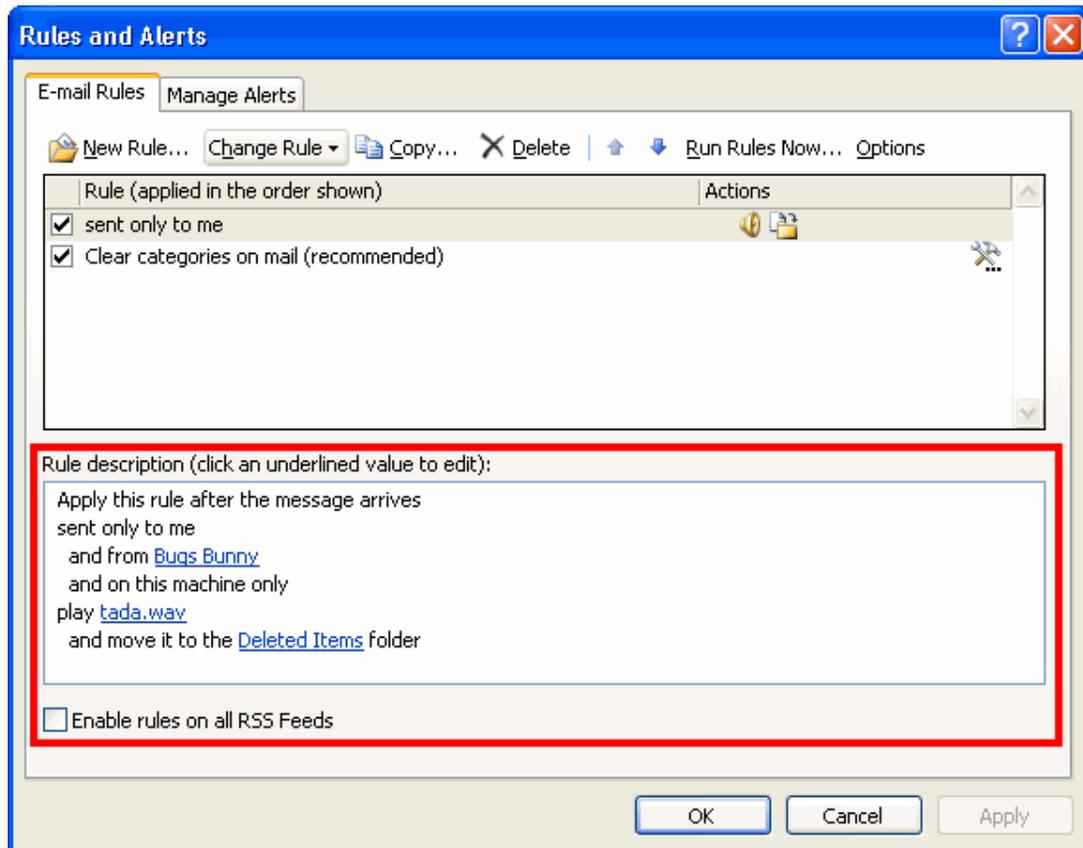
All of the options in the menu are pretty self-explanatory: you can rename the rule or add different options. You'll notice that there are some new options that we didn't have in the Create Rule dialogue box, like changing the message's priority. The options that are already in use for the rule are highlighted with an orange icon (for example, Play a Sound and Move to Folder in the sample menu above). You can click those options to remove that action for the rule.

The icons you see in the menu are important when we're looking at part 2 of the Rules and Alerts box.



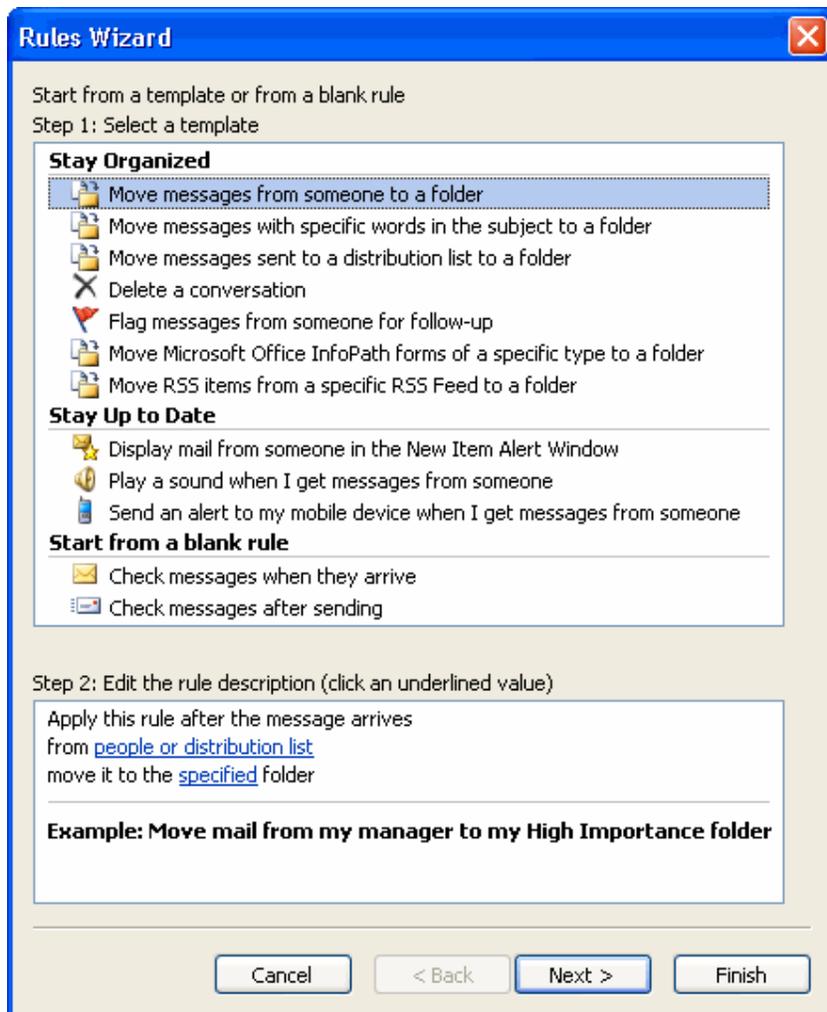
This section is a list of the rules that are in place and the actions that Outlook will take. The actions are identified by the same icons that we saw in the Change Rule menu. In the list, there's also a checkbox by the name of each rule. If the box is checked, the rule is on; if the box is unchecked the rule is off. You can click in the checkbox to change this on/off status.

Part 3 of the Rules and Alerts screen will give you a detailed explanation of each rule that is set up.



You can click the parts that are underlined in blue to change that action or value.

To create a new rule, click the New Rule button in the Rules and Alerts dialogue. The Rules and Alerts wizard will then launch.



First, choose to start from a template or a blank rule.

Stay Organized

-  Move messages from someone to a folder
-  Move messages with specific words in the subject to a folder
-  Move messages sent to a distribution list to a folder
-  Delete a conversation
-  Flag messages from someone for follow-up
-  Move Microsoft Office InfoPath forms of a specific type to a folder
-  Move RSS items from a specific RSS Feed to a folder

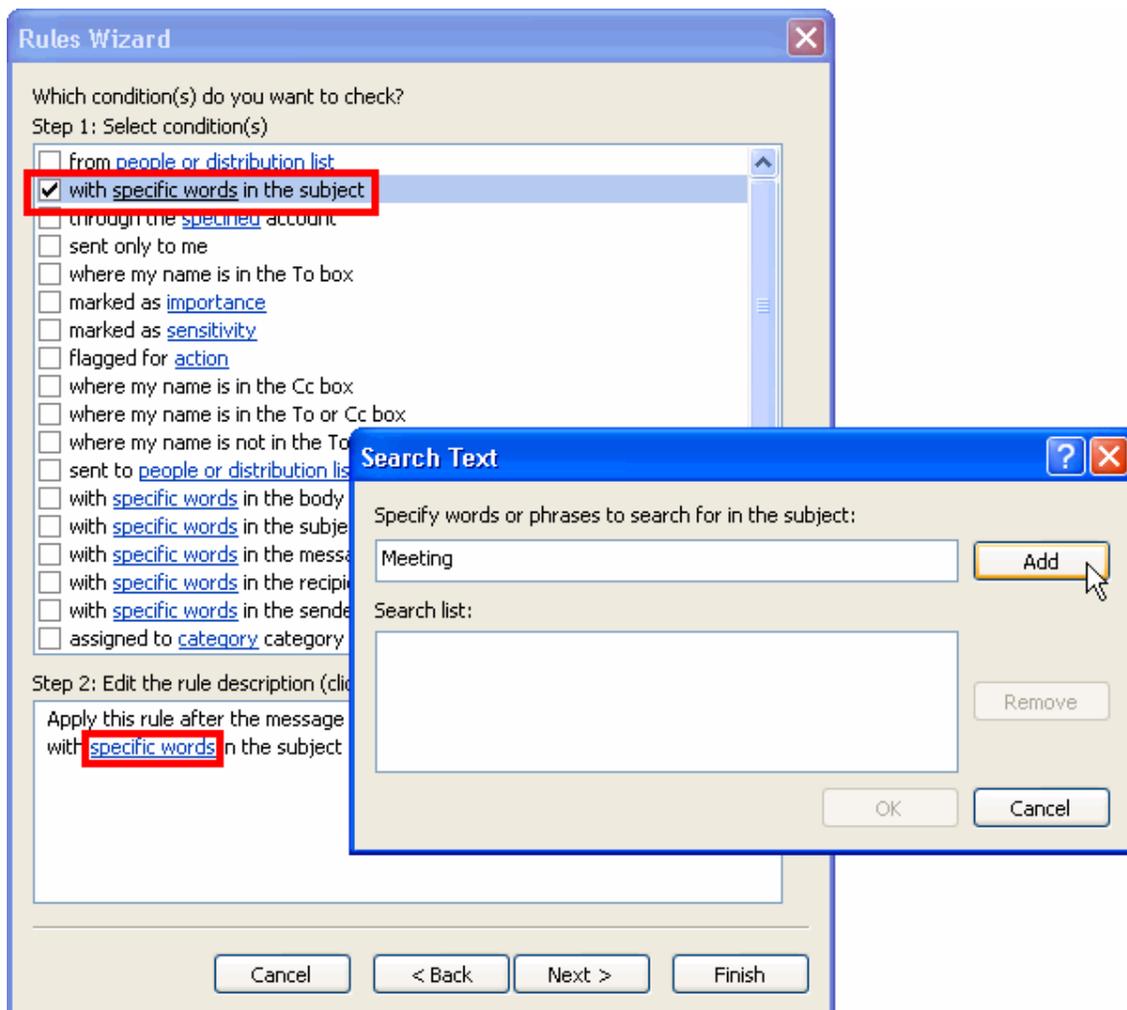
Then, click the blue underlined items to choose a specific value.

Apply this rule after the message arrives
from people or distribution list
flag message for follow up & this time

Example: Flag mail from my manager for follow-up today

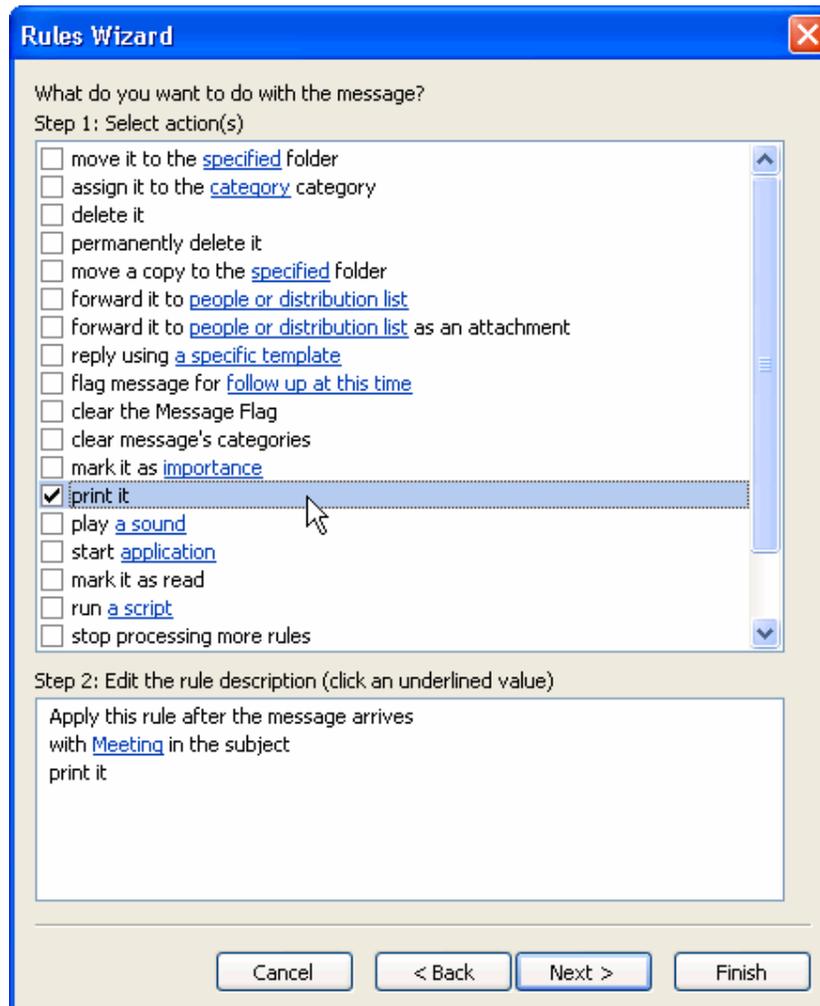
If you start from a template, the remaining steps in the wizard will be filled out for you. Simply confirm your choices by clicking Next, or click Finish at any point.

If you choose to use a blank rule, none of the boxes will be checked when you click Next, so it's up to you what conditions you pick. It's the same idea as before: check the conditions in Step 1, and then click the underlined value in Step 2 to specify your information. In this example, we checked "with specific words in the subject" and then clicked "specific words" in Step 2. Now we'll type the words and click Add.



Once you've set the options in this window (you can check as many as you want) and filled out the values, you can click Next. (If you forget to click an underlined value in step 2,

Outlook will force you to fill out the information before you proceed.) You will then see this window:



This is where you can tell Outlook what to do when the conditions that you specified in the first part of the wizard are met. Once you check an item in Step 1 of this box, you may need to click the underlined value in Step 2 to specify your information. You will also see the conditions that you chose in the previous dialogue listed.

Once we click Next, we'll see our last set of options.



Step 1 in this window is to name your rule; this is the name that will appear in the main Rules and Alerts screen. In Step 2, you can tell Outlook when to run the rule. The first option tells Outlook to run the rule on messages already in the folder you're in. (You can't change the folder for this first option; you can just check the box to run the rule, or uncheck the box so the rule isn't run in that folder.) The next box is checked by default; this will turn your rule on. The third box, "Create this rule on all accounts," is available only if you have multiple e-mail accounts set up.

Step 3 gives you a summary of the conditions, actions, and exceptions for the rule you've created. Once you're done, you can click Finish, and you'll be back to the main Rules and Alerts screen.

Here, you can click Apply and OK to save your changes, or cancel to remove your changes. (Be careful; if you've added a rule but you cancel out of the Rules and Alerts box, that rule will be deleted.)

In summary, there are three ways to create rules in Outlook:

- f* Create Rule box: The easiest way with only the most frequently used options available.
- f* Rules and Alerts main screen: A few more options and a nicer interface, but still pretty easy to use.
- f* Rules Wizard: More time-consuming and complicated, but has all options available.