

Chapter 4. Recoveries, Reimbursements, Transfers

A. Estimated Recoveries

Estimated recoveries are a budgetary resource that must be recognized and recorded in HUDCAPS. For no-year and multi-year accounts, estimated recoveries are recorded in the fund code for the related master account.

Estimated recoveries are recorded in HUDCAPS with an Appropriation/Apportionment (AA) document based on approved Apportionment and Reapportionment Schedule (SF-132).

1. Record Estimated Recoveries

a. Perform the following steps to process the Appropriation/Apportionment (AA) transactions:

- (1) Select **File** from the Main menu.
- (2) Select **New** from the File menu.
- (3) From the Document drop-down list box, select **Appropriation/Apportionment (AA)**.
- (4) Enter the **Document ID**.

Note All AA document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNB, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Appropriation/Apportionment (AA)" selected.
- Batch ID:** Two empty text input boxes.
- Document ID:** Two empty text input boxes.
- Security Org:** One empty text input box.
- Buttons:** "OK" and "Cancel" buttons are located to the right of the input fields.

- (5) Select **OK** or press the **Enter** key.

Budget Execution Data Entry Guide

Note If an error message occurs, use the online Error Guide by double clicking on the error message. If unable to resolve the error with the online Error Guide, call the HUDCAPS Help desk.

- (9) Select **Document** from the Main menu.
- (10) Select **Process** from the Document menu.
- (11) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-3.A.

B. Estimated Reimbursements

Estimated reimbursements are a budgetary resource that must be recognized and recorded in HUDCAPS. For no-year and multi-year accounts, estimated recoveries are recorded in the fund code for the related master account. For annual accounts, estimated reimbursements are recorded in the fund code for the annual account.

Estimated reimbursements are recorded in HUDCAPS with an Appropriation/ Apportionment (AA) document based on approved Apportionment and Reapportionment Schedule (SF-132).

1. Record Estimated Reimbursements

- a. Perform the following steps to process the Appropriation/ Apportionment (AA) transactions:
 - (1) Select **File** from the Main menu.
 - (2) Select **New** from the File menu.
 - (3) From the Document drop-down list box, select **Appropriation/ Apportionment (AA)**.
 - (4) Enter the **Document ID**.

Note All AA document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNB, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**). The AA Document ID referencing an annual fund includes the last digit of the current fiscal year, the last 4 digits of the Treasury symbol and the # sign in the second field (**Example: CFO 00143#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Appropriation/ Apportionment (AA)" selected.
- Batch ID:** Two empty text input boxes.
- Document ID:** Two empty text input boxes.
- Security Org:** One empty text input box.
- Buttons:** "OK" and "Cancel" buttons on the right side.

Budget Execution Data Entry Guide

(5) Select **OK** or press the **Enter** key.

b. Enter the following fields on the **Appropriation** tab:

Field	Description
(1) Budget Fiscal Year(s)	Enter the last two digits of the Budget Fiscal Year(s). For a multi-year fund, enter the last two digits of the beginning year and the last two digits of the ending year.
(2) Fund	Enter the appropriate fund code.
(3) Budget Line Action	Select Add/Activate if this is the first AA document for the BFY/fund code, or select Change if previous AA documents have been processed for the BFY/fund code.
(4) Estimated Reimbursement Trans Type	Enter AR .
(5) Estimated Reimbursement Inc/Dec Amount	Enter the dollar amount of the estimated reimbursement.
(6) Reimbursement Option	Select Include Lesser of Actual and Estimated for program funds, or select Include Estimated Reimbursements for administrative funds.

Note No data needs to be entered on the Apportionment tab.

Budget Execution Data Entry Guide

- (7) Select **Document** from the Main menu.
- (8) Select **Edit** from the Document menu.
- (9) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

Note If an error message occurs, use the online Error Guide by double clicking on the error message. If unable to resolve the error with the online Error Guide, call the HUDCAPS Help desk.

- (10) Select **Document** from the Main menu.
- (11) Select **Process** from the Document menu.
- (12) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-3.B.

C. Transferring Carryover Funds

As a result of the Annual Close process, carryover funds for no-year accounts are automatically moved from the prior Budget Fiscal Year component fund to the new Budget Fiscal Year (BFY) component fund. For example, at the close of BFY 99, fund 99HAHG will be moved from BFY 99 99HAHG to BFY 00 99HAHG.

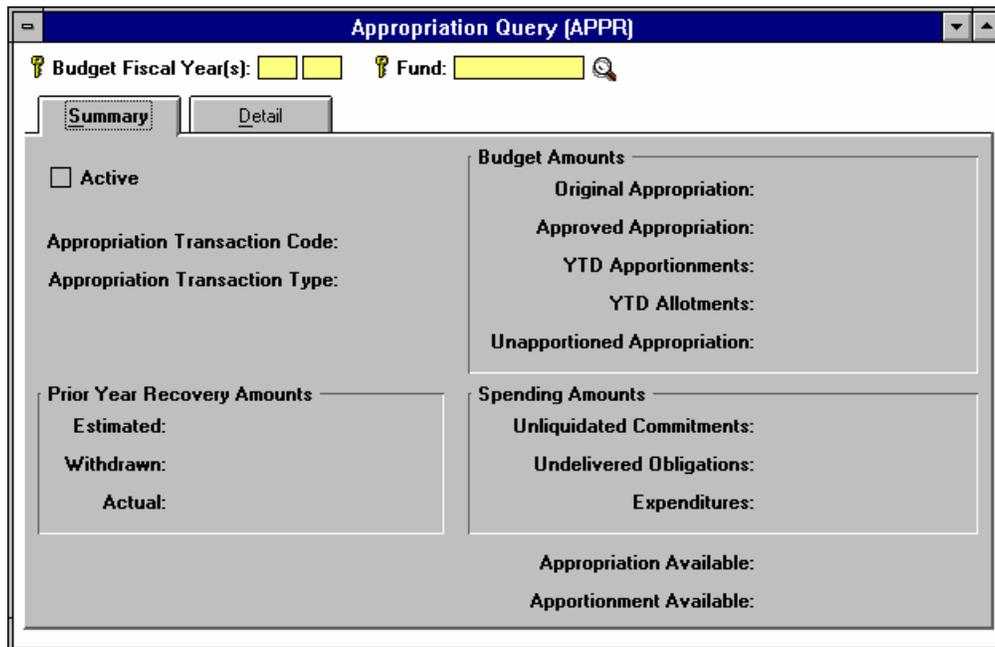
For no-year accounts, carryover funds must be transferred from the component fund code (in our example, BFY00 99HAHG) to the master fund code (in our example, BFY00 99HA00). Funds will then need to be moved from the BFY 00 master fund code into BFY 00 component fund codes for distribution in the new BFY.

The following procedures explain the process for transferring carryover funds from the component fund code to the master fund code.

1. View the APPR Query to Verify Carryover Funds

a. View the Appropriation Query (APPR) to confirm the amount of carryover funds available. The APPR Query is displayed as follows:

- (1) Select **Options** from the Main menu.
- (2) Select **Tables and Queries** from the Options menu.
- (3) Click on the **Category** drop-down list and select **Budget Execution**.
- (4) Select the Appropriation Query (APPR).
- (5) Choose the **OK** button.



The screenshot shows a software window titled "Appropriation Query (APPR)". At the top, there are two search fields: "Budget Fiscal Year(s):" and "Fund:". Below these are two tabs: "Summary" (which is selected) and "Detail". The main area of the window is divided into several sections. On the left, there is a checkbox for "Active" which is unchecked, followed by labels for "Appropriation Transaction Code:" and "Appropriation Transaction Type:". Below these are "Prior Year Recovery Amounts" with sub-labels "Estimated:", "Withdrawn:", and "Actual:". On the right side, there are two main sections: "Budget Amounts" and "Spending Amounts". "Budget Amounts" includes "Original Appropriation:", "Approved Appropriation:", "YTD Apportionments:", "YTD Allotments:", and "Unapportioned Appropriation:". "Spending Amounts" includes "Unliquidated Commitments:", "Undelivered Obligations:", "Expenditures:", "Appropriation Available:", and "Apportionment Available:".

Refer to Appendix A for example of populated document. See Example A-8.A.

Budget Execution Data Entry Guide

- (6) Enter the last two digits of the Budget Fiscal Year(s) in the **Budget Fiscal Year(s)** field (for a multi-year fund, enter the last two digits of the beginning year and the last two digits of the ending year), and enter the fund code in the **Fund** field.
- (7) Select **Actions** from the Main menu.
- (8) Select **Display** from the Actions menu.
- (9) Verify funds available in the **Carryover Amount** field.

2. Create Master Fund Record with an AA Document

- a. Perform the following steps to process an Appropriation/ Apportionment (AA) document to establish the Master fund code:
 - (1) Select **File** from the Main menu.
 - (2) Select **New** from the File menu.
 - (3) From the Document drop-down list box, select **Appropriation/Apportionment (AA)**.
 - (4) Enter the **Document ID**.

Note All AA document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNB, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Appropriation/Apportionment (AA)" selected.
- Batch ID:** Two empty text input boxes.
- Document ID:** Two empty text input boxes.
- Security Org:** One empty text input box.
- OK** and **Cancel** buttons are located on the right side of the dialog.

Budget Execution Data Entry Guide

- (5) Select **OK** or press the **Enter** key.

Budget Execution Data Entry Guide

- b. Enter the following fields on the **Appropriation** tab:

The screenshot shows a software window with the following fields and options:

- Batch:** Document: AA CFO 0HA00000007 Status: NEW
- Appropriation** (selected tab) | Apportionment
- Transaction Date: []/[]/[]
- Federal Fiscal Mo/Yr: []/[]
- Budget Fiscal Year(s): [][] Fund: [] [🔍]
- Trans Type: [] Revised Amount: [] Inc/Dec Amount: []
- Appropriation: []
- Estimated Reimbursement: []
- Estimated Recovery: []
- Unavailable Appropriations: []
- Appropriated FTEs: [] []
- Public Law: []
- Reimbursement Option: Include lesser of actual and estimated [▼]
- Budget Line Action:**
 - Add/Activate
 - Change
 - Deactivate
- Appropriation Change:**
 - Adjustment
 - Lapse
 - Transfer

Field	Description
(1) Budget Fiscal Year(s)	Enter the last two digits of the Budget Fiscal Year(s). For a multi-year fund, enter the last two digits of the beginning year and the last two digits of the ending year.
(2) Fund	Enter the fund code or click on the search icon for a listing of valid fund codes.
(3) Budget Line Action	Choose Add/Activate to add a new budget line.
(4) Appropriation Trans Type	Leave blank.
(5) Inc/Dec Amount	Enter zero or leave blank (the system will interpret the Inc/Dec Amount as zero when this field is left blank).

Note No data needs to be entered on the Apportionment tab.

- (6) Select **Document** from the Main menu.
- (7) Select **Edit** from the Document menu.
- (8) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

Budget Execution Data Entry Guide

Note If an error message occurs, use the Online Error Guide by double clicking on the error message. If unable to resolve the error with the Online Error Guide, call the HUDCAPS Help desk.

- (9) Select **Document** from the Main menu.
- (10) Select **Process** from the Document menu.
- (11) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-3.C.

3. Transfer Carryover Funds from the Component Fund to the Master Fund

- a. Perform the following steps to process an Appropriation Transfer (TA) document to transfer funds from the component fund code to the master fund code:
 - (1) Select **File** from the Main menu.
 - (2) Select **New** from the File menu.
 - (3) From the Document drop-down list box, select **Appropriation Transfer (TA)**.
 - (4) Enter the **Document ID**.

Note All TA document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNG, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

Budget Execution Data Entry Guide

New Document/Batch

Document:

Batch ID:

Document ID:

Security Org:

- (5) Select **OK** or press the **Enter** key.
- b. Enter the following fields on the **Main** Tab:

Batch: Document: TA CFO OHA00000002 Status: NEW

Main Details

Transaction Date: / /

Federal Fiscal Mo/Yr: /

OMB Approval Date: / /

Document Type

Budget Authority

Unobligated Balance

Reappropriation

Transfer

Total:

Authorizing Document:

FTE Total:

Default Line Action

New

Modify

Field	Description
(1) Default Line Action	Select New .
(2) Document Type	Select Unobligated Balance .
(3) Transfer Total	Enter the dollar amount of the appropriation transfer.
(4) Transfer Authorizing Document	Enter Carryover Fund Transfer .

Refer to Appendix A for example of populated document. See Example A-3.C.

Budget Execution Data Entry Guide

- c. Enter the following fields on the **Details** tab:

Field	Description
(1) Line Number	Enter the appropriate three digit line number (001 for the first line, 002 for the second line, etc.).
(2) Transfer Amount	Enter the amount to be transferred with a decimal and cents (enter two zeros if it is an even dollar amount).
(3) Inc/Dec	Select the appropriate radio button to Increase or Decrease funds.
(4) From Trans Type	Enter PY .
(5) From Srce Year(s)	Enter the Budget Fiscal Year(s).
(6) From Fund	Enter the fund from which the amount is being transferred.
(7) To Trans Type	Enter PY .
(8) To Srce Year(S)	Enter the Budget Fiscal Year(s).
(9) To Fund	Enter the fund to which the amount is being transferred.

- (10) Select **Document** from the Main menu.
- (11) Select **Edit** from the Document menu.
- (12) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

Budget Execution Data Entry Guide

Note If an error message occurs, use the online Error Guide by double clicking on the error message. If unable to resolve the error with the online Error Guide, call the HUDCAPS Help desk.

- (13) Select **Document** from the Main menu.
- (14) Select **Process** from the Document menu.
- (15) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-3.C.

4. Approve the Appropriation Transfer with a TC Document

- a. Perform the following steps to process the Appropriation Transfer Approval (TC):
 - (1) Select **File** from the Main menu.
 - (2) Select **New** from the File menu.
 - (3) From the Document drop-down list box, select **Appropriation Transfer Approval**.
 - (4) Enter the **Document ID**.

Note All TC document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNB, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

(5) Select **OK** or press the **Enter** key.

b. Enter the following fields on the **Appropriation Transfer Approval (TC)** document:

Field	Description
(1) Transfer Document	Enter the document ID of the Appropriation Transfer (TA) being approved. Enter TA in the first box and the Document ID in the second box.
(2) Transfer Total	Enter the total dollar amount to approve, as entered on the Main tab of the Appropriation Transfer (TA).
(3) Treasury Voucher Number	Enter SF-132 .
(4) Action	Ensure that this field correctly defaults to Approve Anticipated Amounts .

(5) Select **Document** from the Main menu.

(6) Select **Edit** from the Document menu.

(7) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

Note If an error message occurs, use the online Error Guide by double clicking on the error message. If unable to resolve the error with the online Error Guide, call the HUDCAPS Help desk.

Budget Execution Data Entry Guide

- (8) Select **Document** from the Main menu.
- (9) Select **Process** from the Document menu.
- (10) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-3.C.

D. Transferring Recaptured Funds

As a result of the recapture process, recaptured funds are automatically moved from the prior Budget Fiscal Year component fund to the new Budget Fiscal Year (BFY) component fund. For example, a recapture in fiscal year 2000 of fund BFY 99 99HAHG will be moved to BFY 00 99HAHG.

Recaptured funds must then be transferred from the component fund code BFY 00 99HAHG to the master fund code BFY 00 99HA00. Funds will then need to be moved from the BFY 00 master fund code into BFY 00 component fund codes for distribution in the new BFY 00.

The following procedures explain the process for transferring recaptured funds from the component fund code to the master fund code.

1. Verify Recaptured Amounts with the APPR Query

The Appropriation Query (APPR) is used to review information about the status of an appropriation including the Prior Year Recovery amounts. This query tracks funding by appropriation.

- a. The Appropriation Query (APPR) is displayed as follows:
 - (1) Select **Options** from the Main menu.
 - (2) Select **Tables and Queries** from the Options menu.
 - (3) Click on the **Category** drop-down list and select **Budget Execution**.
 - (4) Select the Appropriation Query (APPR).
 - (5) Choose the **OK** button.

Budget Execution Data Entry Guide

Appropriation Query (APPR)

Budget Fiscal Year(s): Fund:

Summary | Detail

Active

Appropriation Transaction Code:
Appropriation Transaction Type:

Prior Year Recovery Amounts

Estimated:
Withdrawn:
Actual:

Budget Amounts

Original Appropriation:
Approved Appropriation:
YTD Apportionments:
YTD Allotments:
Unapportioned Appropriation:

Spending Amounts

Unliquidated Commitments:
Undelivered Obligations:
Expenditures:

Appropriation Available:
Apportionment Available:

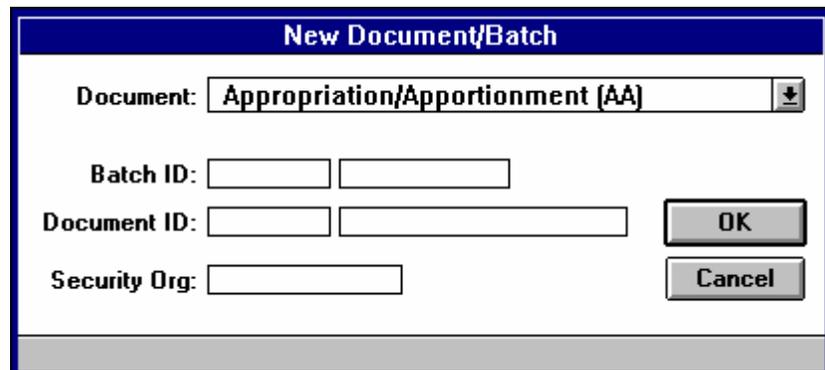
- (6) Enter the last two digits of the Budget Fiscal Year(s) in the **Budget Fiscal Year(s)** field (for a multi-year fund, enter the last two digits of the beginning year and the last two digits of the ending year), and enter the fund code in the **Fund** field.
- (7) Select **Actions** from the Main menu.
- (8) Select **Display** from the Actions menu.
- (9) Verify the recaptured amounts in the **Prior Year Recovery Amounts Total** field.

Refer to Appendix A for example of populated document. See Example A-8.A.

2. Transfer Funds out of the Prior BFY Component Funds with an Appropriation/Apportionment (AA) Document

- a. Perform the following steps to process an Appropriation/ Apportionment (AA) document to transfer recaptured funds out of the Component fund:
 - (1) Select **File** from the Main menu.
 - (2) Select **New** from the File menu.
 - (3) From the Document drop-down list box, select **Appropriation/Apportionment (AA)**.
 - (4) Enter the **Document ID**.

Note All AA document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNB, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.



The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Appropriation/Apportionment (AA)" selected.
- Batch ID:** Two empty text input boxes.
- Document ID:** Two empty text input boxes.
- Security Org:** One empty text input box.
- OK** and **Cancel** buttons.

- (5) Select **OK** or press the **Enter** key.

Budget Execution Data Entry Guide

- (10) Select **Document** from the Main menu.
- (11) Select **Process** from the Document menu.
- (12) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-3.D.

3. Transfer Funds into the Current BFY Master Fund with an Appropriation/Apportionment (AA) Document

- a. Perform the following steps to process an Appropriation/ Apportionment (AA) document to transfer recaptured funds into the Master fund:
 - (1) Select **File** from the Main menu.
 - (2) Select **New** from the File menu.
 - (3) From the Document drop-down list box, select **Appropriation/Apportionment (AA)**.
 - (4) Enter the **Document ID**.

Note All AA document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNB, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Appropriation/Apportionment (AA)" selected.
- Batch ID:** Two empty text input boxes.
- Document ID:** Two empty text input boxes.
- Security Org:** One empty text input box.
- Buttons:** "OK" and "Cancel" buttons are located on the right side of the dialog.

- (5) Select **OK** or press the **Enter** key.

Budget Execution Data Entry Guide

- b. Enter the following fields on the **Appropriation** tab:

The screenshot shows a software window with the following fields and options:

- Batch:** Document: AA CFO 0HA00000010 Status: NEW
- Appropriation** (selected tab) | Apportionment
- Transaction Date: / /
- Federal Fiscal Mo/Yr: /
- Budget Fiscal Year(s): Fund:
- Trans Type: Revised Amount: Inc/Dec Amount:
- Appropriation:
- Estimated Reimbursement:
- Estimated Recovery:
- Unavailable Appropriations:
- Appropriated FTEs:
- Public Law:
- Reimbursement Option:
- Budget Line Action:**
 - Add/Activate
 - Change
 - Deactivate
- Appropriation Change:**
 - Adjustment
 - Lapse
 - Transfer

Field	Description
(1) Budget Fiscal Year(s)	Enter the last two digits of the Budget Fiscal Year(s). For a multi-year fund, enter the last two digits of the beginning year and the last two digits of the ending year.
(2) Fund	Enter the fund code or click on the search icon for a listing of valid fund codes.
(3) Budget Line Action	Choose Change to change the existing budget line.
(4) TransType	Enter RI for the amount to transfer in.
(5) Inc/Dec Amount	Enter the positive dollar amount to transfer into the current BFY master fund (the amount must include a decimal and cents).
(6) Appropriation Change	Choose Transfer .

- (7) Select **Document** from the Main menu.
- (8) Select **Edit** from the Document menu.
- (9) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

Note If an error message occurs, use the online Error Guide by double clicking on the error message. If unable to resolve the error with the online Error Guide, call the HUDCAPS Help desk.

- (10) Select **Document** from the Main menu.
- (11) Select **Process** from the Document menu.
- (12) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-3.D.

E. Transfer Appropriation from an External Agency

When HUD receives a transfer appropriation from another agency for the benefit of the parent account, it will be recorded as an “allocation account” in HUDCAPS. A new fund code must be established in the HUDCAPS but the fund retains the Treasury symbol of the parent account for reporting and consolidation with the parent account. This transfer is a nonexpenditure transfer and is accomplished with Standard Form 1151, Nonexpenditure Transfer Authorization.

If the transfer appropriation is a no-year or multi-year appropriation, the master/component concept must be used and a master fund code established to record the full amount of the transfer appropriation. If the transfer appropriation is an annual appropriation, a unique fund code for an annual account must be established to record the full amount of the transfer appropriation.

1. Create Master Fund Record with an AA Document

- a. Perform the following steps to process an Appropriation/ Apportionment (AA) document to establish the Master fund code:
 - (1) Select **File** from the Main menu.
 - (2) Select **New** from the File menu.
 - (3) From the Document drop-down list box, select **Appropriation/Apportionment (AA)**.
 - (4) Enter the **Document ID**.

Note All AA document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNB, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**). The AA Document ID referencing an annual fund includes the last digit of the current fiscal year, the last 4 digits of the Treasury symbol and the # sign in the second field (**Example: CFO 00143#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Appropriation/Apportionment (AA)" selected.
- Batch ID:** Two empty text input boxes.
- Document ID:** Two empty text input boxes.
- Security Org:** One empty text input box.
- Buttons:** "OK" and "Cancel" buttons are located on the right side of the dialog.

- (5) Select **OK** or press the **Enter** key.

Budget Execution Data Entry Guide

- b. Enter the following fields on the **Appropriation** tab:

The screenshot shows a software window with the following elements:

- Title Bar:** Batch: Document: AA CFO ODP00000008 Status: NEW
- Tabs:** Appropriation (selected), Apportionment
- Transaction Date:** []/[]/[]
- Federal Fiscal Mo/Yr:** []/[]
- Budget Fiscal Year(s):** [][] **Fund:** [] [Search icon]
- Trans Type:** []
- Revised Amount:** []
- Inc/Dec Amount:** []
- Appropriation:** []
- Estimated Reimbursement:** []
- Estimated Recovery:** []
- Unavailable Appropriations:** []
- Appropriated FTEs:** [] []
- Public Law:** []
- Reimbursement Option:** Include lesser of actual and estimated [Dropdown arrow]
- Budget Line Action:**
 - Add/Activate
 - Change
 - Deactivate
- Appropriation Change:**
 - Adjustment
 - Lapse
 - Transfer

Field	Description
(1) Budget Fiscal Year(s)	Enter the last two digits of the Budget Fiscal Year(s). For a multi-year fund, enter the last two digits of the beginning year and the last two digits of the ending year.
(2) Fund	Enter the fund code or click on the search icon for a listing of valid fund codes.
(3) Budget Line Action	Choose Add/Activate to add a new budget line.
(4) Appropriation Trans Type	Leave blank.
(5) Inc/Dec Amount	Enter zero or leave blank (the system will interpret the Inc/Dec Amount as zero when this field is left blank).

Note No data needs to be entered on the Apportionment tab.

- (6) Select **Document** from the Main menu.
- (7) Select **Edit** from the Document menu.
- (8) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

Budget Execution Data Entry Guide

Note If an error message occurs, use the Online Error Guide by double clicking on the error message. If unable to resolve the error with the Online Error Guide, call the HUDCAPS Help desk.

- (9) Select **Document** from the Main menu.
- (10) Select **Process** from the Document menu.
- (11) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-3.E.

2. Transfer Funds from an External Agency to a HUD Fund with a TA Document

- a. Perform the following steps to process the Appropriation Transfer (TA) document:
 - (1) Select **File** from the Main menu.
 - (2) Select **New** from the File menu.
 - (3) From the Document drop-down list box, select **Appropriation Transfer (TA)**.
 - (4) Enter the **Document ID**.

Note All TA document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNG, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**). The TA Document ID referencing an annual fund includes the last digit of the current fiscal year, the last 4 digits of the Treasury symbol and the # sign in the second field (**Example: CFO 00143#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

New Document/Batch

Document: **Appropriation Transfer (TA)**

Batch ID:

Document ID:

Security Org:

OK Cancel

(5) Select **OK** or press the **Enter** key.

b. Enter the following fields on the **Main** tab:

Batch: Document: TA CFO ODP00000004 Status: NEW

Main Details

Transaction Date: / /

Federal Fiscal Mo/Yr: /

OMB Approval Date: / /

Document Type

Budget Authority

Unobligated Balance

Reappropriation

Transfer

Total:

Authorizing Document:

FTE Total:

Default Line Action

New

Modify

Field	Description
(1) Default Line Action	Select New .
(2) Document Type	Select Budget Authority as the type of appropriation transfer.
(3) Transfer Total	Enter the appropriation transfer amount.
(4) Transfer Authorizing Document	Enter the Document ID of the SF-1151.

Refer to Appendix A for example of populated document. See Example A-3.E.

Budget Execution Data Entry Guide

- c. Enter the following fields on the **Details** tab:

Field	Description
(1) Line Number	Enter the appropriate three digit line number (001 for the first line, 002 for the second line, etc.).
(2) Transfer Amount	Enter the dollar amount to transfer.
(3) Inc	Select the radio button to increase funds.
(4) From Guest Symbol	Enter the Appropriation Guest Symbol for the external agency from which the funds are being transferred.
(5) To Trans Type	Enter the transaction type AT .
(6) To Srce Year(s)	Enter the Budget Fiscal Year(s).
(7) To Fund	Enter the fund code to which the amount is being transferred.

- (8) Select **Document** from the Main menu.
- (9) Select **Edit** from the Document menu.
- (10) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

Note If an error message occurs, use the online Error Guide by double clicking on the error message. If unable to resolve the error with the online Error Guide, call the HUDCAPS Help desk.

- (11) Select **Document** from the Main menu.
- (12) Select **Process** from the Document menu.
- (13) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-3.E.

3. Approve Transfer to Master Fund with TC Document

- a. Perform the following steps to process the Appropriation Transfer Approval (TC):
 - (1) Select **File** from the Main menu.
 - (2) Select **New** from the File menu.
 - (3) From the Document drop-down list box, select **Appropriation Transfer Approval (TC)**.
 - (4) Enter the **Document ID**.

Note All TC document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNB, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**). The TC Document ID referencing an annual fund includes the last digit of the current fiscal year, the last 4 digits of the Treasury symbol and the # sign in the second field (**Example: CFO 00143#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

The screenshot shows a dialog box titled "New Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Appropriation Transfer Approval [TC]" selected.
- Batch ID:** Two adjacent text input boxes.
- Document ID:** Two adjacent text input boxes.
- Security Org:** One text input box.
- OK** and **Cancel** buttons are located on the right side of the dialog.

- (5) Select **OK** or press the **Enter** key.

Budget Execution Data Entry Guide

- b. Enter the following fields on the **Appropriation Transfer Approval (TC)** document:

Field	Description
(1) Transfer Document	Enter the document ID of the Appropriation Transfer (TA) being approved. Enter TA in the first box and the Document ID in the second box.
(2) Transfer Total	Enter the total dollar amount to approve (as entered on the Main tab of the TA).
(3) Treasury Voucher Number	Enter SF-1151 .
(4) Action	Ensure that the system has correctly defaulted to Approve Anticipated Amounts .

- (5) Select **Document** from the Main menu.
- (6) Select **Edit** from the Document menu.
- (7) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

Note If an error message occurs, use the online Error Guide by double clicking on the error message. If unable to resolve the error with the online Error Guide, call the HUDCAPS Help desk.

- (8) Select **Document** from the Main menu.
- (9) Select **Process** from the Document menu.
- (10) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-3.E.

F. Recording Reimbursement Receipts

1. Record Reimbursement Receipts with a DT Document

- a. Perform the following steps to process the Deposit Ticket (DT) document to record actual reimbursements:
- (1) Select **File** from the main menu.
 - (2) Select **New** from the File menu.
 - (3) From the document list box, select **Deposit Ticket (DT)**.
 - (4) Enter the **Document ID**.

Note All DT document IDs referencing a no-year or multi-year fund code include the allotment holder (ex: CFO, HSNB, CPD, PIH, etc.) in the first field. The last digit of the current fiscal year, the third and fourth digit of the fund code and the # sign are included in the second field (**Example: CFO 0HA#**). The DT Document ID referencing an annual fund includes the last digit of the current fiscal year, the last 4 digits of the Treasury symbol and the # sign in the second field (**Example: CFO 00143#**). By entering the # sign, the system will assign the next available sequential number for the document ID prefix entered.

The screenshot shows a dialog box titled "Open Document/Batch". It contains the following fields and controls:

- Document:** A dropdown menu with "Deposit Ticket (DT)" selected.
- Batch ID:** Two empty text input boxes.
- Document ID:** Two empty text input boxes.
- Security Org:** One empty text input box.
- Buttons:** "OK" and "Cancel" buttons on the right side.

- (5) Select **OK** or press the **Enter** key.

Budget Execution Data Entry Guide

b. Enter the following fields on the **Header** tab:

The screenshot shows a software window with the following fields and controls:

- Batch:** Document: DT CFO 05270000001 Status: NEW
- Header** (selected tab), Line(s), Quick Entry
- OPAC/Deposit Number: [Text Box]
- Date Accomplished: [MM] / [DD] / [YY]
- Disbursing Office: [Text Box]
- Transaction Date: [MM] / [DD] / [YY] Accounting Period: [MM] / [YY]
- Budget Fiscal Year(s): [YY] [YY] Fund: [Text Box]
- Document Type: [Text Box]
- Document Action:**
 - Original Entry
 - Modification
 - Cancellation
- Document Total: [Text Box] Transaction Type: [Text Box]
- Reference:**
 - Transaction Code: [Text Box] Document Number: [Text Box]
- Billed Fund Symbol: [Text Box]
- Override Cash Account: [Text Box]

Field	Description
(1) OPAC/Deposit Number	Enter the Deposit Receipt number as found on the documentation.
(2) Disbursing Office	Enter the Disbursing Office Code as found on the Treasury Disbursing Office Table (DISB).
(3) Budget Fiscal Year(s)	Enter the last two digits of the Budget Fiscal Year. For multi-year funds, enter the last two digits of the beginning year and the last two digits of the ending year.
(4) Fund	Enter the Fund code to which the reimbursement will post.
(5) Document Total	Enter the total amount of the reimbursement.
(6) Transaction Type	Enter IM .

Refer to Appendix A for example of populated document. See Example A-3.F.

Budget Execution Data Entry Guide

- c. Enter the following field on the **Line(s)** tab:

Field	Description
(1) Line Number	Enter a line number.
(2) Amount	Enter the amount of the line transaction.
(3) Inc/Dec Radio Buttons	Select the Inc button to record positive reimbursements.
(4) Transaction Type	Enter IM .
(5) Vendor Code	Enter a valid vendor code as found on the Vendor Table (VEND).
(6) BFYS	Enter the last two digits of the Budget Fiscal Year. For multi-year funds, enter the last two digits of the beginning year and the last two digits of the ending year.
(7) Fund	Enter the Fund code to which the reimbursement will post.
(8) Program	Enter a valid program code as found on the Program Table (PGMT).
(9) Budget Organization	Enter a valid Budget Organization as found on the Organization Table (ORGN).
(10) Revenue Source	Enter REIM .

- (11) Select **Document** from the Main menu.
- (12) Select **Edit** from the Document menu.

Budget Execution Data Entry Guide

- (13) View the message area at the bottom of the window for warning or error messages and make the necessary changes.

Note If an error message occurs, use the online Error Guide by double clicking on the error message. If unable to resolve the error with the online Error Guide, call the HUDCAPS Help desk.

- (14) Select **Document** from the Main menu.
- (15) Select **Process** from the Document menu.
- (16) When the message, “The document has been accepted, do you want to close the document?” appears, select **Yes** to close the document, or **No** to keep the document open.

Refer to Appendix A for example of populated document. See Example A-3.F.