

# Overview

## Chapter i. Introduction

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*This document provides an overview of the functionality of the Budget Execution Subsystem. This subsystem is part of the Housing and Urban Development's Central Accounting and Program System (HUDCAPS). This procedures guide details how HUDCAPS is configured to meet the Department of Housing and Urban Development's (HUD) budget execution needs, and, more specifically, provides detailed data entry procedures for budget execution. Budgetary levels as well as procedures and examples of documents and queries will be covered.*

In this document...

- ◆ Budget Execution Overview
- ◆ Data Entry Procedures
- ◆ Query Procedures
- ◆ Examples of Populated Documents and Queries

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**Note** All of the procedures in this guide are specifically for HUDCAPS for Windows (GUI screens), and do not address procedures for the mainframe (3270) environment.

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## Chapter ii. Budget Execution Transactions

Budgets in HUDCAPS are established when funds are distributed to each budget level by processing documents. The following table shows the budget documents and the HUD supporting form used to distribute funds to each budget level. Trans types listed are the most common for each level.

Budget Level	Trans Code	Trans Type	HUDCAPS Transaction	HUD Form	Function
1	AA TA/TC	01, 03, 04, MY MC	Appropriation	SF-132 line item	Establishes appropriations
2	AA, PA	PA, AP	Apportionment and Approval	SF-132 line item	Establishes, approves and posts pending apportionments
3	B4 BE (for Administrative Funds)	01	Advice of Allotment	HUD-158 (Advice of Allotment) total	Establishes and approves the budget at the Advice of Allotment level
4	B5 BE (for Administrative Funds)	01	Distribution to Program/Object Class	HUD-158 (Advice of Allotment) line item	Establishes and approves the budget at the Distribution to Program/Object Class level
5	B6 BE (for Administrative Funds)	01	Distribution to Program	Program Office Memo (HUD-158 line item by program)	Establishes and approves the budget at the Distribution to Program level
6	SA	01	Assignment/ Operating Budget (Level 1 Assignment)	HUD-185 Assignment or Operating Budget	Establishes, approves, and posts budget at the Assignment/ Operating Budget level 1.
7	SA	01	Assignment/ Operating Budget (Level 2 Assignment)	HUD-185 Assignment or Operating Budget	Establishes, approves, and posts budget at the Assignment/ Operating Budget level 2.
8	SA	01	Assignment/ Operating Budget (Level 3 Assignment)	HUD-185 Assignment or Operating Budget	Establishes, approves, and posts budget at the Assignment/ Operating Budget level 3.

### Chapter iii. Tables

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Valid codes and descriptions for budget dimensions are stored on reference tables. The tables for each budget dimension are listed below.

Budget Dimensions	HUDCAPS Table	Table ID
Appropriation (Fund)	Fund Table: <ul style="list-style-type: none"> <li>• Defines codes for all funds used in the system.</li> <li>• Establishes classification groupings that group similar funds together.</li> </ul>	FUND
Allotment Holder (Division)	Division Table: <ul style="list-style-type: none"> <li>• Defines codes for Divisions.</li> <li>• Defines options and controls, by division, for Budget Execution</li> </ul>	DVSN
Program/Object Class	Program Class Table: <ul style="list-style-type: none"> <li>• Defines Program Class codes used to group similar Program Codes.</li> <li>• Grouping of Program Codes into classes occurs in the Program Codes Table (PGMT).</li> </ul>	PCLS
Program	Program Table: <ul style="list-style-type: none"> <li>• Defines codes for programs.</li> <li>• Groups similar programs into higher level classifications.</li> <li>• Defines the allotment program to be used when spending controls are enforced by the program code.</li> </ul>	PGMT
Organization	Organization Table: <ul style="list-style-type: none"> <li>• Defines field office or administrative organization codes and assigns division/organization relationships.</li> <li>• Defines an organization as a budget organization, cost organization, or both.</li> <li>• Defines other organization-based options.</li> </ul>	ORGN
Budget Object Code	Budget Object Code Table <ul style="list-style-type: none"> <li>• Defines Budget Object Codes (BOCs).</li> <li>• Defines which BOCs are to be used in establishing the budget.</li> </ul>	BOCT

## Chapter iv. Online Queries

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Queries are used when researching budgetary status. Online queries are updated by processed documents. They display the original and current budget amounts as well as unliquidated commitments, unliquidated obligations, and expenditures incurred against the budget. The following table lists online queries for each budget level.

Budget Level	Online Query	Query ID
Appropriation	<p><b>Appropriation Query</b> contains:</p> <ul style="list-style-type: none"> <li>• the status of an appropriation</li> <li>• appropriation amounts</li> <li>• apportionment and advice of allotment totals</li> <li>• committed, obligated, and expended amounts</li> </ul>	APPR
	<p><b>Fiscal Year Appropriation Table Query</b> contains:</p> <ul style="list-style-type: none"> <li>• the status of an apportionment by fiscal year</li> </ul>	FAPP
Apportionment	<p><b>Apportionment Query</b> contains:</p> <ul style="list-style-type: none"> <li>• the status of an apportionment</li> <li>• the total budget authority for the apportionment</li> <li>• pending and approved amounts by quarter</li> <li>• deferred amounts</li> <li>• year-to-date commitment, obligation, and expenditure amounts</li> </ul>	APOR
	<p><b>Fiscal Year Apportionment Table Query</b> contains:</p> <ul style="list-style-type: none"> <li>• the status of an apportionment by fiscal year</li> </ul>	FAPR

## Budget Execution Data Entry Guide

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Budget Level	Online Query	Query ID
Advice of Allotment	<p><b>Advice of Allotment Query</b> contains:</p> <ul style="list-style-type: none"> <li>• the allotment budget level and each allotment budget line</li> <li>• each budget line's accounting distribution and budgeted amount</li> <li>• commitment, obligation, and expenditure amounts</li> <li>• estimated and actual reimbursements for each allotment line</li> </ul>	ALOC
	<p>• <b>Fiscal Year Advice of Allotment Query</b> contains:</p> <ul style="list-style-type: none"> <li>• the status of Advice of Allotment by fiscal year</li> </ul>	FALC
Distribution to Program/Object Class	<p><b>Distribution to Program/Object Class Query</b> contains:</p> <ul style="list-style-type: none"> <li>• distribution to program/object class budget level and each distribution to program/object class budget line</li> <li>• each budget line's accounting distribution, the budgeted amounts, and the committed, obligated, and expended amounts</li> <li>• estimated and actual reimbursements for each distribution to program/object class line</li> </ul>	SALC
	<p>• <b>Fiscal Year Suballocation Query</b> contains:</p> <ul style="list-style-type: none"> <li>• the status of a Distribution to Program/Object Class by fiscal year</li> </ul>	FSLC
Distribution to Program	<p><b>Distribution to Program Query</b> contains:</p> <ul style="list-style-type: none"> <li>• distribution to program budget level and each distribution to program budget line</li> <li>• each budget line's accounting distribution and budgeted amounts</li> <li>• commitment, obligation, and expenditure amounts</li> <li>• estimated and actual reimbursements for each distribution to program line</li> </ul>	ALLT
	<p>• <b>Fiscal Year Distribution to Program Query</b> contains:</p> <ul style="list-style-type: none"> <li>• the status of a Distribution to Program Query by fiscal year</li> </ul>	FALT

## Budget Execution Data Entry Guide

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Budget Level	Online Query	Query ID
Assignment/ Operating Budget (Level 1 Assignment, Level 2 Assignment, <u>and</u> Level 3 Assignment)	<p><b>Assignment Spending Control Query</b> contains:</p> <ul style="list-style-type: none"> <li>• assignment/operating budget spending control edits</li> <li>• entries for each assignment/operating budget with no reference to assignment/operating budget hierarchies</li> </ul>	SASP
	<p><b>Assignment/Operating Budget Query</b> contains:</p> <ul style="list-style-type: none"> <li>• one entry for each assignment/operating budget, with level indicators showing where each assignment/operating budget exists in the assignment/operating budget hierarchy</li> <li>• commitment, obligation and expended amounts for each assignment/operating budget</li> <li>• amounts that are further assigned in the lower assignment levels</li> </ul>	SAIN
	<p><b>Assignment Structure Query</b> contains:</p> <ul style="list-style-type: none"> <li>• a line for each assignment/operating budget in the system. It represents the backup rollup references of the assignment/operating budget hierarchy which are necessary for calculating amount aggregations for the Suballoment Table (SAIN).</li> </ul>	SAST
	<p><b>Spending Control Document Cross Reference Query</b> contains:</p> <ul style="list-style-type: none"> <li>• a list of the spending documents, such as requisitions, obligations, payments, and direct disbursements that reference a budget line.</li> </ul>	SPDX