

REQUEST FOR NEW BANNER INDEX

To request a new Banner index, complete this form, direct any questions to and forward as follows :

Unrestricted Budget – *Mike Weaver (85238, miw6) / Auxiliary Enterprises – Warren Loller (85097, wjl2)* - Budget Office 428 Brodhead Ave.
Plant / Endowment / Endowment Spending – *Dot Ouellette (84550, djo0)* - Controller's Office 524 Brodhead Ave.
All Other Externally Funded – *Sejal Patel (83204, sep5)* - Controller's Office, 524 Brodhead Ave.
Research and Other Sponsored Programs – Contact Office of Research and Sponsored Programs for procedures to follow.

BANNER INDEX NUMBERS CANNOT BE ASSIGNED UNLESS ALL INFORMATION IS COMPLETE, SIGNATURES ARE OBTAINED, AND PROPER DOCUMENTATION IS ATTACHED. Requests for new Banner indexes will not be accepted over the telephone. Once a Banner Index Number is assigned, the requestor will be notified by e-mail.

Requestor:	Phone Ext:	E-mail: _____@lehigh.edu	Date:
Banner Index Title: (35 characters max)			
Financial Manager:	Signature: _____		E-mail: _____@lehigh.edu
Faculty Member's Academic Dept:	Is this Research affiliated with a Center/ Institute? Yes <input type="checkbox"/> No <input type="checkbox"/>	If Yes, list the Center/ Institute affiliation:	
Non-Faculty Member's Department:	Start date:	End date:	
Dean or VP Signature (required for Externally Funded Indexes): X _____			
Incentive Funding Plan Distribution (for indexes charged 12.5% Liaison Administrative Fee):		For ORSP Use : Review the Request, check the appropriate box, initial and date. Return to Controller's Office.	
<u>Name</u>	<u>Amount</u>	<input type="checkbox"/> Fund is "Sponsored research" - set up by Research Accounting.	
Department _____	- _____%	<input type="checkbox"/> Fund is Non-research with no liaison fee.	
Center/Institute _____	- _____%	<input type="checkbox"/> Fund is a Liaison with 12.5% fee.	
		<input type="checkbox"/> Fund is Research with no liaison fee (fill in special instructions on next page).	
		REVIEWED BY: _____	DATE: _____
Financial Manager's Preferences (check box if required) - Monthly financial reports <input type="checkbox"/> Monthly Payroll reports <input type="checkbox"/> Banner Viewing access <input checked="" type="checkbox"/>			
Other Authorized Signers:			
Other Monthly Financial Report recipients:			
Other Monthly Payroll Report recipients:			
Other Banner Viewing Access recipients:			
Purpose of Banner Index:			
ATTACH THE FOLLOWING FUNDING SUPPORT DOCUMENTATION: anything that would detail the purpose and funding source of index, for example, copies of any correspondence, e-mails, checks, expense reallocations, Bursar billing coding sheet, registration form, donor letter, contracts, budget forms, or any other document explaining in detail how index will be funded and used.			
Funding Classification: (Lehigh University, private foundation, industry, PA state, other government, local, US government, etc.)			
Amount, source, and dates of funding, if other than University unrestricted budget:			
THIS BANNER INDEX SHOULD NOT GO INTO DEFICIT (expenses should not exceed revenues). Please provide a back up Banner index that can be used to fund any deficit in this new index.			
Backup Index Number: (Required for externally funded indexes only.)			
Financial Manager Signature – Back up index number - X _____			
Banner Index Number Assigned		For Budget Office Use:	
<div style="border: 1px solid black; width: 150px; height: 30px; margin: 0 auto;"></div>		Reviewed By (initials) _____	
		Date Number was assigned _____	
Date Created : _____ Created by : _____ Requester Notified : _____ Notified by : _____			

FOR CONTROLLER'S OFFICE USE ONLY: Please Initial & Date if approving or assigning attributes. The 'Entered' box will be checked once the attribute is entered into Banner.

Approval signatures and dates			Attribute values to be assigned:			Other Attribute values to be assigned:		
			Initials _____	Date _____				
Approved by:	Initials	Date	Attribute type	Value	Entered	Attribute type	Value	Entered
Acctg. Oper. Supervisor	_____	_____	990IICOL	_____	<input type="checkbox"/>	ADMINFEE	_____	<input type="checkbox"/>
Asst. Controller	_____	_____	ATHOTH	_____	<input type="checkbox"/>	Initials _____	Date _____	
Or: Mgr. Asset Acctg	_____	_____	NCAACOL	_____	<input type="checkbox"/>			
Or: Assoc. Controller	_____	_____	TREV1	_____	<input type="checkbox"/>			
Controller	_____	_____	TREV2	_____	<input type="checkbox"/>	Attribute type	Value	Entered
Budget	_____	_____	TREV3	_____	<input type="checkbox"/>	ICPOOL	_____	<input type="checkbox"/>
			TREV4	_____	<input type="checkbox"/>	Initials _____	Date _____	
			TREV5	_____	<input type="checkbox"/>			
			TREV6	_____	<input type="checkbox"/>			
ORSP Special Instructions: _____								

REVENUE LINE – for any 1XXXXX index

- ___ 1300 Tuition and Fees
- ___ 1400 Federal Grants/Contracts
- ___ 1495 LU Local Grants/Contracts
- ___ 1500 State & Local Grants/Contracts
- ___ 1600 Private Gifts/Grants/Contracts
- ___ 1700 Endowment Earnings
- ___ 1800 Related Program Activity
- ___ 1900 Indirect Cost Recovery
- ___ 2000 Other Sources
- ___ 2040 Investment Earnings
- ___ 2050 Matured Term Endowment
- ___ 2051 Matured Annuity/Life Income
- ___ 2400 FA – Federal Grants
- ___ 2500 FA – State/Local Grants
- ___ 2600 FA – Private Gifts/Grants
- ___ 2700 FA – Endowment Earnings

EXPENSE LINE – for any index other than 1XXXXX

- ___ 3900 Instruction
- ___ 4000 Research
- ___ 4001 Research-LU-BF
- ___ 4050 Public Service
- ___ 4100 Academic Support
- ___ 4200 Student Services
- ___ 4300 Institutional Support
- ___ 4400 Physical Plant O & M
- ___ 4500 Employee Benefits
- ___ 5400 FA – Institutional Grants
- ___ 5500 FA – External Grants
- ___ 6400 Auxiliary Enterprises
- ___ 8101 Instruction-BF
- ___ 8102 Research-BF
- ___ 8103 Public Service-BF
- ___ 8106 Institutional Support-BF
- ___ 8203 Public Service-MREC
- ___ 8206 Institutional Support-MREC
- ___ 8303 Public Service-RLF
- ___ 8900 Agency
- ___ 9000 General University

POOL

- ___ AT Annuity Trusts
- ___ BA Balanced Pooled Income Fund
- ___ EF Endowment-Funds Held in Trust
- ___ EN Endowment-Non Pool Investments
- ___ EP Endowment Pool
- ___ G1 Gift Annuity – Pool 1
- ___ G2 Gift Annuity – Pool 2
- ___ HY High Yield
- ___ LF Life Income – Funds Held in Trust
- ___ PO Post '69 Pooled Income Fund
- ___ SE Segregated Funds
- ___ UN Unitrusts

CLASSIFICATION

- ___ True Endowment
- ___ Quasi Endowment
- ___ Quasi Endowment-Board Designated
- ___ Funds Held in Trust by Others
- ___ Term Endowment

PURPOSE

- ___ (blank) Unrestricted
- ___ BM Building Maintenance
- ___ BO Board Designated – Other Purposes
- ___ BS Board Designated – Scholarships
- ___ CH Endowed Chairs
- ___ FL Fellowships
- ___ GA Gift Annuities
- ___ HM Hewlett Mellon
- ___ LI Library
- ___ LN Loan Funds
- ___ MT Mountaintop Campus
- ___ OT Other Purpose
- ___ PR Professorships
- ___ PZ Prizes
- ___ SC Scholarships
- ___ SF Sherman Fairchild

Spendable Fund _____

FASB Restriction _____

Request for New Banner Index - Instructions

Banner provides entity structure through a six digit code referred to as an "Index". The index number is assigned to keep track of revenues, expenses, transfers and encumbrances in the operating, grant and encumbrance ledgers of both University budgeted indexes and externally funded indexes, and to keep track of fund balances in the general ledger of externally funded indexes.

The anticipated source and use of the funds determines what type of index will be created. For more detail see Controller's Office web page link *Understanding Lehigh's Chart of Accounts*.

Indexes are created from information provided on the **Request for New Banner Index**. This form is available via the Controller's Web Page in Word format for your use. Requests for new Banner indexes cannot be accepted over the phone. Questions about creating a new Banner index can be directed as follows:

Unrestricted University Budget:

- Budget Office - Assistant Director of Budget

Externally Funded Indexes:

- **Auxiliary Enterprises** - Budget Office - Assistant Director of Budget
- **Plant / Endowment / Endowment Spending** - Controller's Office - Manager of Asset Accounting
- **Research and Other Sponsored Programs** - Office of Research and Sponsored Programs - Please contact Office of Research and Sponsored Programs for procedures to follow
- **All Other** - Controller's Office - Accounting Operations Supervisor

The following information is required in order to properly complete the form:

- **Requestor information:** - The name, phone, and email address of the person requesting the new index
- **Request Date:** - The date of the request
- **Banner Index Title:** - Limited to 35 characters
- **Financial Manager:** - A financial manager is the person who is assigned responsibility for the financial activity of a Banner index. This person must be employed at the University as faculty or exempt staff. Individuals in temporary positions (adjuncts, visitors) are not eligible to be financial managers.

Financial Managers have authority to:

- Incur or approve charges to an index (within University guidelines)
- View all index activity and balance information
- Designate authorized signers
- Designate individuals to receive access to view index activity and balances
- Designate individuals to receive financial or payroll reports

- Make changes to the index title
- Designate another person as the successor financial manager

Financial Managers have the responsibility to:

- Promptly review all activity on the index to ensure that it is in keeping with University guidelines and the specified purpose of the index
- Provide oversight to prevent deficits and/or spending that exceeds budget
- Safeguard the confidentiality of the index activities, as appropriate
- Notify Controllers Office (or Office of Research for research or other sponsored program indexes) in the event of change in authorized signers or report recipients
- Notify Controllers Office (or Office of Research for research or other sponsored program indexes) when index should be terminated

Signature and email address are required for the financial manager

- **Faculty Member's Academic Department:** - List the Faculty Member's Academic Department that is responsible for the index. Answer 'Yes' or 'No' if the research related to this new index is affiliated with a Center/ Institute. If 'Yes', please list the Center/Institute.
- **Non-Faculty Member's Department:** - List the Non-Faculty Member's Department that is responsible for the index.
- **Start Date:** - Usually July 1st of the current fiscal year, unless requirements dictate otherwise.
- **End Date:** - Required only when project / event has specific termination date.
- **Dean or VP Signature:** - THIS REQUIREMENT IS A MUST FOR EXTERNALLY FUNDED INDEXES. Requests received without the signature will be returned for signature before processing.
- **Incentive Funding Plan Distribution:** - Required only for those indexes where a performance agreement with an outside entity exists and a Liaison Administration Fee is being charged. Determination of fee application is the responsibility of the Office of Research and Sponsored Programs and is based on the nature and scope of the agreement.
- **Financial Manager's Preferences:** - Check if the financial manager wants to receive monthly financial reports, and/or monthly payroll reports. Banner viewing access is automatically given to the Financial Manager. If they are not set up to receive any access, and want to have this option, please go to the Controller's webpage. Click on General Accounting/Forms/Banner Access Request Form. Complete the form and send it to the Controller's Office. If they do not want to receive viewing access, paper reports will be sent out.
- **Authorized Signers in Addition to Financial Manager:** - These individuals have authority from the financial manager to approve all charges to an index (for example; reallocations, Accounts Payable, Payroll, and travel expense authorizations, etc.) . Each index can have up to six authorized signers. **NOTE:** Authorized Signer status does not automatically translate to view access status on Banner for the index. View access, along with assignment of authorized

signers can only be granted by the financial manager on a user by user basis. *If no authorized signers are listed, the financial manager must approve all charges before they can be processed.*

- **Individuals to Receive Monthly Financial Reports:** - A maximum of four copies of the monthly paper reports are available. Typically the financial manager, unless otherwise instructed, gets the monthly financial reports; however, each index can have three additional recipients for the monthly financial reports. Also, monthly financial report recipients do not automatically have access to view the index on Banner. Viewing access, along with assignment of report recipients can only be granted by the financial manager as noted above on a user by user basis.
- **Individuals to Receive Payroll Reports:** - Each index can have four recipients of the payroll paper reports. Please note that payroll report recipients are not necessarily the same as those authorized to approve payroll charges. Only authorized signers have that capability. Also, payroll report recipients do not automatically have access to view the index on Banner. That requires separate approval from the financial manager.
- **Individuals to Receive Banner Access:** - Banners users who have the financial manager's signed authorization to access all activity and balances for this index. Any other users, other than those specified on the initial request, will require authorization by the financial manager before access is granted.
- **Purpose of Banner Index:** - This information is **required**. The Controller's Office determines the type of index to be created based on the source and use of the funds. Requests received without this information can not be processed. In addition to a statement of purpose, supporting documentation as described below should be provided along with the request. These will be filed with the completed request for audit purposes.
- **Attach the following supporting documentation:** - Attach anything that would detail the purpose and funding source of the index, for example, copies of correspondence, e-mails, checks, expense reallocations, Bursar billing coding sheets, registration forms, donor letters, contracts, budget forms, or any other documents explaining in detail how the index will be funded and used.
- **Amount, source, and dates of funding, if other than University unrestricted budget:** - This information is required. The Controller's Office determines the type of index to be created based on the source of funding. Requests received without this information can not be processed. In addition to the amount of funding, classification as to Unrestricted University Budget, private foundation, industry, PA State, local, US government, etc. should be stated.
- **Backup Index Number:** - This backup is required for all externally funded indexes in the event the new index goes into deficit. Deficits will be funded from the backup index. Note: The signature of the financial manager of the backup index is required as their authorization to provide the deficit coverage.

Additional coding on page two of the form is for use by the Controller's Office. Please make sure to include this page with your completed page one when submitting the form to the Controller's Office.

Requests for new indexes should be directed as follows:

Unrestricted Budget and Auxiliary Enterprises indexes	Budget Office 428 Brodhead Ave.
Research and Other Sponsored Program indexes	Office of Research and Sponsored Programs 526 Brodhead Ave.
Plant, Endowment and Endowment Spending indexes	Asset Accounting, Controller's Office 524 Brodhead Ave.
All other requests	General Accounting, Controller's Office 524 Brodhead Ave.

If you are unsure as to what type of index you are requesting, contact the Controller's Office Accounting Operations Supervisor at 83204. The requestor will be notified with the new number when the index has been created and is available for use.

Once the number has been established on Banner, it cannot be re-used for any other intent than specified on the Request for New Index form.