Chapter 4b. Fund Transfers

INTRODUCTION	2
TYPES OF FUND TRANSFERS	2
REASONS FOR FUND TRANSFERS	2
FUND TRANSFER PROCESS	2
ARS ACCOUNTABILITY POLICY FOR YEAR-END EXPENDITURES	6
OTHER INFORMATION	7
EXAMPLES FOR FUND TRANSFER COMMENTS	7

Introduction

A fund transfer is a request to reallocate appropriated funds between or among ARS research projects. Appropriated (in-house) funds and soft funds (from incoming agreements) cannot be mixed; therefore, this process is only used for appropriated funding.

Fund transfers are initiated at any level, from Management Unit (MU) to Office of National Programs (ONP).

Types of Fund Transfers

There are two types of fund transfers - **Permanent and Temporary**. A **temporary** fund transfer is a one-time only transfer in a specific fiscal year. At the beginning of the next fiscal year, the funds revert to the giving project. A **permanent** fund transfer remains in the receiving project year after year.

Reasons for Fund Transfers

Temporary transfers are done to receive Administrator funded post-doc funds, transfer funds across management units or Areas, or fund cooperative research between ARS laboratories. Permanent fund transfers are done to fund replacement projects, budget increases, or redirection of funding.

Fund Transfer Process

Initiation of a fund transfer is the responsibility of the MU/project receiving the funds. The MU Research Leader initiates the request by modifying the AD-416 of the project receiving the funds. The request is forwarded through the ARIS approval levels to the Area Director for review. If approved, the request is forwarded to ONP and BPMS for review, approval and implementation. If disapproved, the request returns to the MU level.

To initiate a fund transfer:

- Create a work record of the project receiving the funds. (See Chapter 4A for creating Work records.)
- From the Work file List screen, mark the project requiring the fund transfer and go to the **Comments** tab. Click the **Add Comments button**.
- Enter a general explanation of the action(s) taken on the project (e.g., Temporary FY2020 fund transfer (\$xxx,xxx) from....to...., for..., modifying objectives, coding, etc.), and **Save**.
- Note: The detailed comments related to the fund transfer must also be added in a comment field on the Fund transfer screen.
- If additional information is required, send a note to the Area Program Analyst explaining the circumstances.

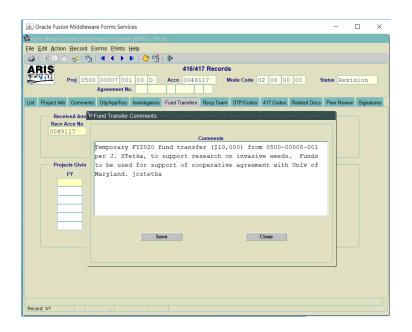
Note: If the fund transfer crosses Areas, provide notification to the Program Analyst in the giving project's Area prior to the initiation of the action. Additionally, documentation of the approval to use funds outside your area must be uploaded to the Related Docs tab.

Agricultural Re lie Edit Action	In Middleware Forms Services Search Information System (ARUS) - Becord Forms Prints Help Proj 0500 00007 001 00 p Agreement No.	416/417 Records Accn 0049117 Mo	de Cede 02 00 00 00 St STPICades 417 Cades Related Docs	atus Revision	
Accession .0049117	Project No	Mode Code Status	Sunt Date		Comments Comments Date of Tem 12/19/2 02/23/2 02/23/2 02/23/2 02/23/2 01/19/2 01/19/2 11/19/
Record 1/1	Add Record	Delete Record App	rove Multiple Records	AMS	Save Cancel

- After adding comments, click the **Fund Transfer** tab to display the Fund Transfer screen.
- Click the Add Record button in the Received Amount by FY section. ARIS automatically inserts the accession number and FY of the receiving project.
- Enter the **Receive Amount** of the transfer and check the transfer type, either **Perm** or **Temp**. The system calculates the data for the **Total Amt of Giving Prjs** box.

📓 Oracle Fusion Middleware Forms Services – 🗆 🗙	📓 Oracle Fusion Middleware Forms Services - 🗆 🗙
PAgricultural Research Information System (ARIS) - Work	Agricultural Research Information System (ARIS) - Work
Elle Edit Action Record Eorms Brints Help	Elle Edit Action Record Forms Prints Help
A16/417 Records Proj 0500 00007 001 00 D Accm 0049117 Mode Code 02 00 00 Status Revision	416/417 Records Proj 0500 00007 001 00 D Acm 0049117 Mode Code 02 00 00 Status Revision
	Proj 0500 00007 001 00 D Accn 0049117 Mode Code 02 00 00 00 Status Revision
Agreement No.	Agreement No.
List Project Info Comments Obj/App/Key Investigators Fund Transfers Resp Team STP/Codes 417 Codes Related Docs Peer Review Signatures	List Project Info Comments Obj/App/Key Investigators Fund Transfers Resp Team STP/Codes 417 Codes Related Docs Peer Review Signatures
Received Amount by FY	Received Amount by FY
Receive Amount Total Amt Of Giving Pris Comments	Recv Accn No FY Receive Amount Total Amt Of Giving Pris Comments
C Perm C Temp	0049117 2020 \$10,000 CPerm Temp Temp Temp
Add Record Delete Record	Add Record Delete Record
Projects Giving Funds	
FY Giving Accn No Project No Giving Amount	Projects Giving Funds FY Giving Acon No Project No Giving Amount
Perm Temp	Perm Temp
© Perm © Temp	C Ferm C Temp
© Perm © Temp	© Perm © Temp
© Perm © Temp	© Perm © Temp
C Perm C Temp	© Perm © Temp
Add Proj Giving Funds Delete Proj Giving Funds	Add Proj Giving Funds Delete Proj Giving Funds
Broad 41	
Record 1/1	Record: 1/1

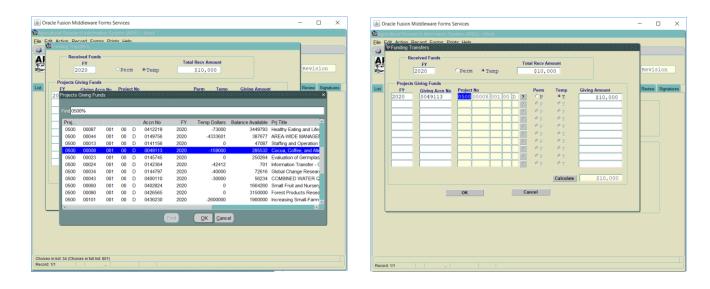
- Enter Comments by clicking the Comments icon. Add comments that provide a clear explanation of the reason for the fund transfer (*e.g., Temporary FY2020 fund transfer (\$10,000) from 0500-00008-001, per J. Stetka, to support research on invasive species, purchase of equipment....., email 4/23/20. jcs*). (see pg. 7 for examples of fund transfer comments).
- Note: These comments will show in the budget transaction file.



- Click **Save** to return to the Fund transfer screen.
- Next, add the giving project(s) information. Click the **Add Project Giving Funds** button to open the Giving Projects screen.

Oracle Fusion Middleware Forms Services - ×	Oracle Fusion Middleware Forms Services	- 🗆 X
Page Landrain Research Information System (ARSIS): Work Ele: Est Acton Record Eorns Prints Help Image: State	Eite Grid and Revealer hadronican System (ARD): 1990 Eite Grid Anton. Revealer (ARD): 1990 Finding Transfers Finding Transfers Finding Transfers Total Recy Amount 1000 Projects Uxing Tunds Finding Carlos Finding Tanders Finding Tanders Finding Tanders Finding Tanders Finding Tanders Finding Tanders	Revision Review Signatures
Received Amount PY Receive Amount 2020 \$10,000 Perm *Temp Add Record Delete Record Projects Civing Funds FY Giving Acce No Projects Civing Funds Projects Civing Funds FY Giving Acce No Projects Civing Funds Projects Civing Funds	2020 2020	
Add Proj Civing Funds Deleter Proj Civing Funds	OK Cancel	J

- Click the "?" to open the Project Giving List screen. Scroll down the list or search for the appropriate giving project.
- Highlight the giving project and click **OK**. ARIS closes the List screen and inserts the giving project number.
- Enter the dollar amount of the fund transfer from the giving project and click **OK**. ARIS inserts the giving project number and dollar amount of the fund transfer on the Fund Transfer Info screen.



<u>NR</u>		00 00007 001 Agreement No.		Accn 0049	17 Records	le Code 02	00 00 00	s	tatus Revi	sion
st P	Project Info Commer	nts Obj/App/Key	Investigators	Fund Transfers	Resp Team S	TP/Codes 4	17 Codes Relat	ed Docs	Peer Review	Signatur
	Received Amo Recv Accn No 0049117		Receive Amo \$10,	000 ° Pe	erm ©Temp	Total Am	t Of Giving Prjs	Comr		
		Add Record			Delete Record					
	 Projects Giving 									
	FY 2020	Giving Accn No 0049113	Project N	lo 0008 001 0		@ Down	Giving Amour			
	2020	0049115				© Temp		000		
					• Perm	OTemp			1.	
						• Temp				
						• Temp				
					• Perm	• Temp				
		Add Proj 0	Giving Funds		elete Proj Givin	ng Funds				
			5		<i>,</i>	5				

• If more than one project is giving funds, continue adding giving projects in the same manner until the giving amount equals the receiving amount.

Note: Click in the FY field below the last giving project entered to add additional giving project data lines.

Note: If the last line on the screen is used and additional fund transfer giving lines are needed, click the down arrow and an additional line will be displayed for data entry.

le Edit Art					*****	666 -	
	 Received Funds FY 	Tot	al Recv Ar	nount			
	2020	C Perm @ Temp	\$10,0	00		Revis	ion
	ojects Giving Funds Y Giving Accn No		Perm	Temp	Giving Amount	Review	Signatures
202	0 0049113	0500 00008 001 00 D ?	C P	ΦT	\$10,000		
		2	0 p 0 p	OT OT			
		2	6 p	07 07			
		7	0 p	OT			
			0 P	ΘT			
			0 P	• T			
<u></u>		and a solution	0 p 0 p	ΦT			
СПСК	Fr data t	ox to add	6 p	OT OT			
hibbe	tional givi	ng projects	-				
auun	Lional givi	ng projects		Calculate	\$10,000		
	_	ОК Са	ncel				
		UK Ca	licel				
						_	

- After entering all funding projects and funding amounts, click **OK** to return to the Fund Transfer screen.
- Select the List tab to return to the List screen. ARIS will ask "Do you want to save your changes?" Click Yes. You may also save at any time by clicking the Save button on the tool bar.

The fund transfer is now complete. Continue following your Area approval process.

Note: The giving amount must always equal receiving amount.

ARS Accountability Policy for Year-End Expenditures

Year-end reported expenditures for each in-house research project are allowed to vary from the allocated amount by +/- 5% or \$50,000, whichever is less. Total expenditures within a management unit cannot exceed the total allocated amount for all projects within the management unit. Expenditures may exceed the +/- 50% or \$50,000 limitation only if a request is submitted electronically through the program approval lines. (See P&P620.0)

Other Information

- Administrator funded post-docs receive funds from Project No. 0101-88888-016-00D.
- FY Program Increases receive funding from Project No. 0101-88888-028-00D (only used for beginning of FY program increases).
- Fund transfer requests that cross Areas require notification to the giving project's Area Program Analyst and the OAA HQ Program Analyst before approval. Additionally, approval documentation, such as emails and/or AD-700s must be uploaded to the Related Docs tab prior to submitting the fund transfer for approval.
- All 0500 (HQ) releases are initiated by Headquarters only.

Examples for Fund Transfer Comments

1. Administrator Funded Post-doc:

Temporary FY2020 fund transfer (\$70,000) from 0101-88888-016 for Administrator Funded post doc. Mentor: Jill Stetka; Post-doc: Kendra Mariner; Class of 2019; EOD 4/1/2020; Balance Remaining: \$70,000. jcstetka

2. OSQR Certification:

FY2020 Permanent Fund Transfer of \$3,129,595 from 0500-00008-001/Accn #400002. Replaces old project 0500-00007-001/400002. Project approved through NP305 OSQR Review Process. (jcstetka)

3. Temporary fund transfer:

Temporary FY2020 fund transfer (\$10,000) from 0500-00007-001 per J. Stetka, for research on new invasive weeds. Funds to be used for equipment and supplies. jcstetka

4. FY Program Increase:

Permanent FY2020 fund transfer (\$100,000) from 0101-88888-028 for FY2020 Program Increase for Aquaculture research (PDRAM #20). jcstetka