

## Chapter 4b. Fund Transfers

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## ***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 (fig. 1), and select the **Comments** tab. Click the **Add Comments button** (fig. 2).
- Enter a general explanation of the action(s) taken on the project (e.g., Temporary FY2015 fund transfer (\$xxx,xxx) from....to...., for..., modifying objectives, coding, etc.), and **Save**.
- **Note:** The detailed comments related to the fund transfer will 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.

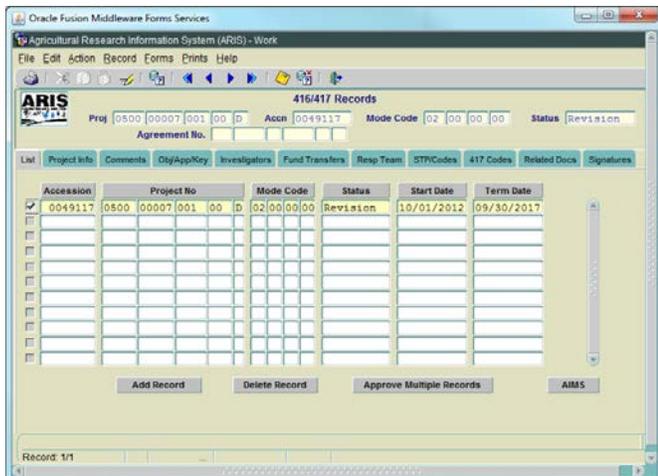


Fig. 1. Work 416 List Screen

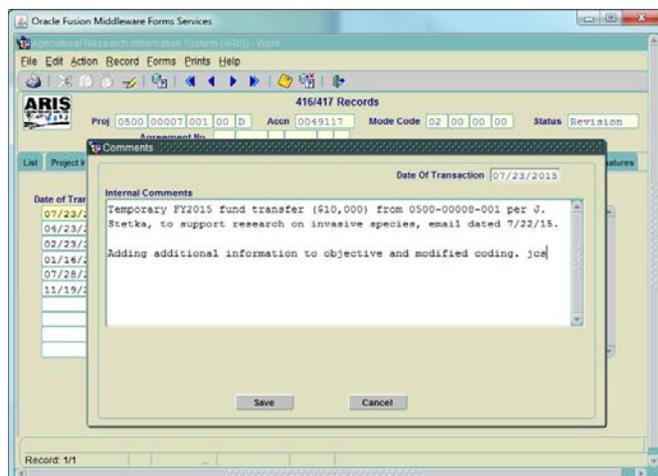


Fig. 2. Comments Screen

- After adding comments, click the **Fund Transfer** tab to display the Fund Transfer screen (fig. 3).
- Click the **Add Record** button in the **Received Amount by FY** section (fig. 3). ARIS automatically inserts the accession number and FY of the receiving project (fig. 4).

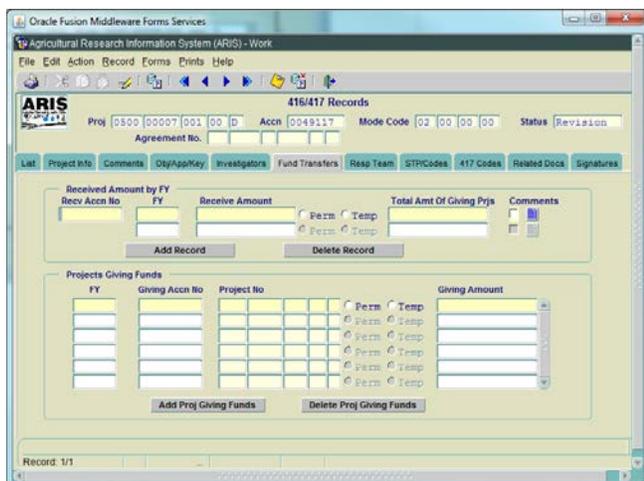


Fig. 3. Fund Transfer Screen

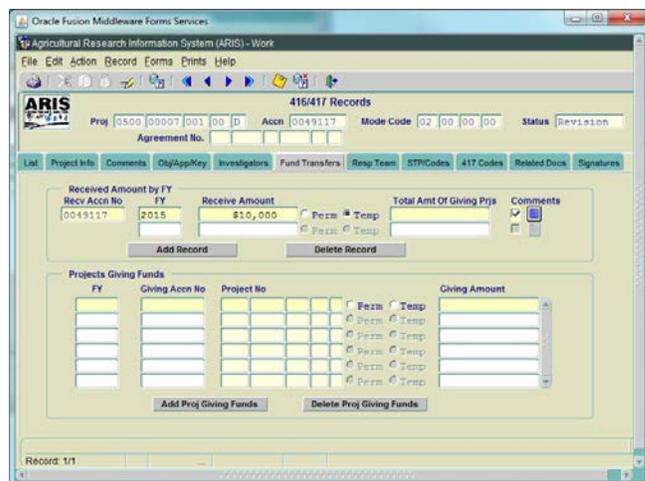


Fig. 4. Fund Transfer Screen

- 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.

- Enter **Comments** by clicking the Comments icon. Add comments that provide a clear explanation of the reason for the fund transfer (e.g., Temporary FY2015 fund transfer (\$10,000) from 0500-00080-001, per J. Stetka, to support research on invasive species, purchase of equipment....., email 7/25/15. jcs) (fig. 5). **Note:** These comments will show in the budget transaction file.
- Click **Save** to return to the Fund transfer screen (fig. 6).

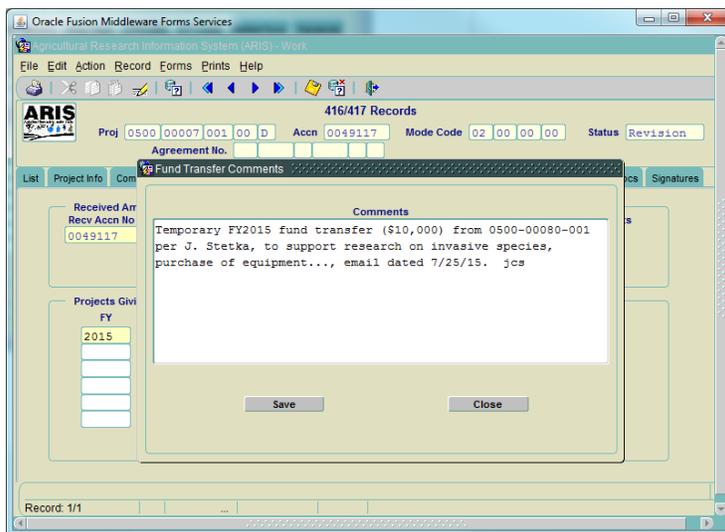


Fig. 5. Comments Screen

- Next, add the giving project(s) information. Click the **Add Project Giving Funds** button (fig. 6) to open the Giving Projects screen (fig. 7).

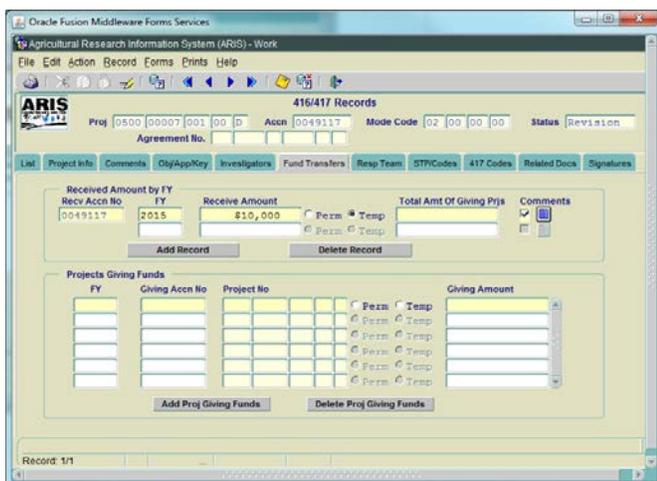


Fig. 6. Add Giving Projects

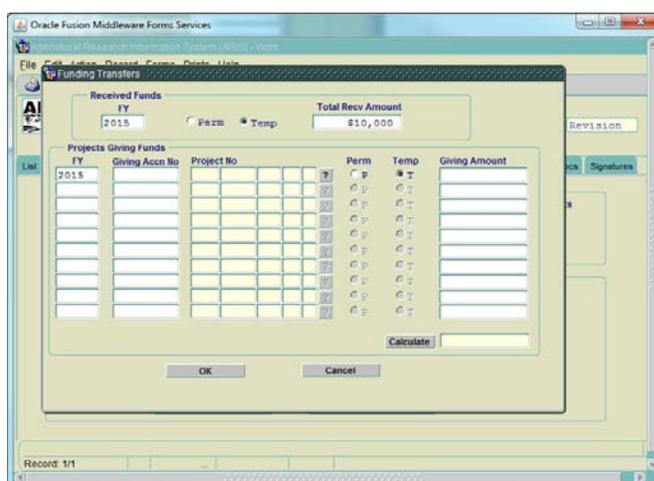


Fig. 7. Giving Projects Screen

- Click the “?” to open the Project Giving List screen (fig. 8). 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 (fig. 9).
- Enter the dollar amount of the fund transfer from the giving project and click **OK** (fig. 9). ARIS inserts the giving project number and dollar amount of the fund transfer on the Fund Transfer Info screen (fig. 10).

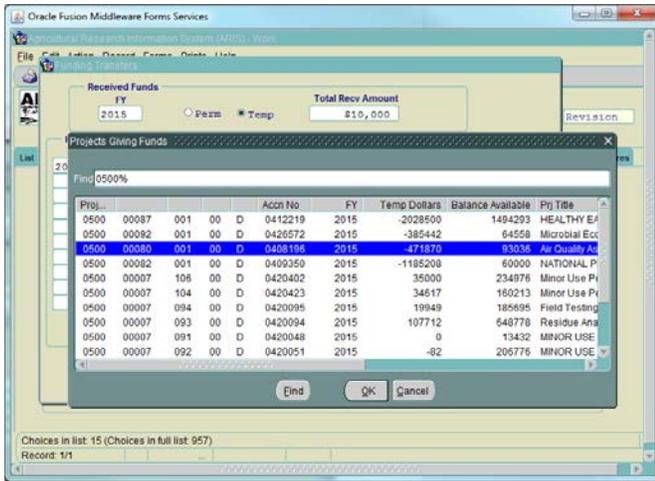


Fig. 8. Selecting Giving Project from List Screen

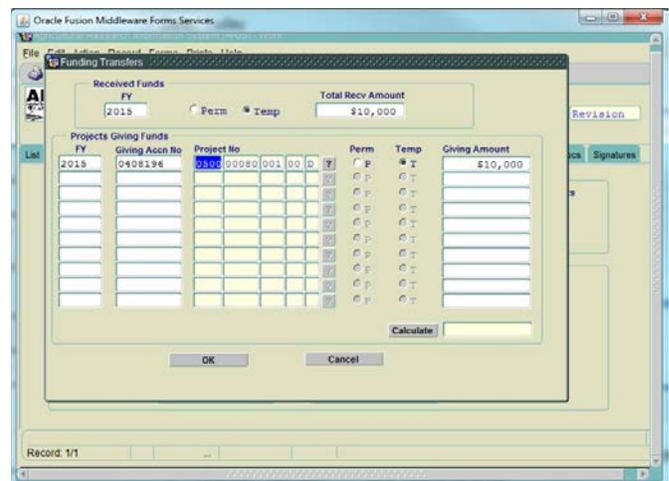


Fig. 9. Giving Project - Completed

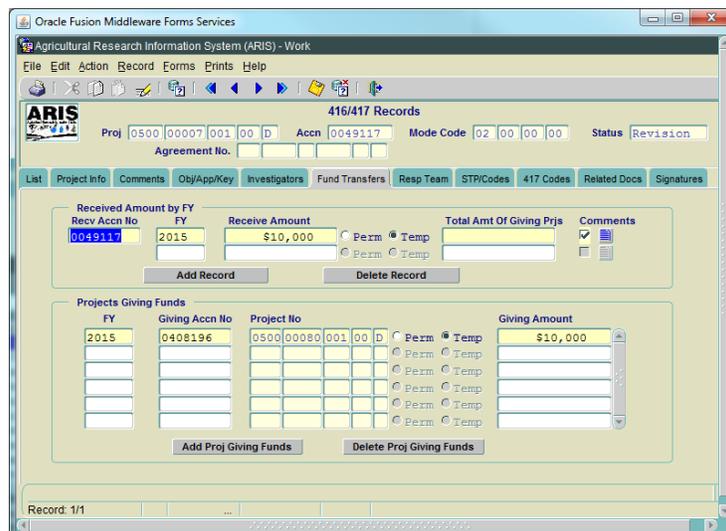


Fig. 10. Completed Fund Transfer Screen



## Requesting Temporary and Permanent Fund Transfer in the Same Action

A temporary and permanent fund transfer for the same fiscal year can be requested in the same action, but care must be taken to ensure the correct giving projects are selected for each transfer. **In most cases, it is preferable to request the transfers in separate actions.** A temporary and permanent fund transfer in different fiscal years cannot be requested in the same action.

- Select the **Fund Transfer** tab.
- Click **Add Record**, select **Perm** and enter the permanent dollars to be received.
- Add comments for the permanent fund transfer.
- After entering the comments, **Save** to return to the Fund transfer screen.
- Click **Add Record** again, select **Temp** and enter the temporary dollars to be received.
- Add comments for the temporary fund transfer. **Note:** Enter comments separately for each action.
- Highlight the **Perm** fund transfer Receiving Amount data line and click **Add Project Giving Funds** button.
- Select the project giving the funds by clicking the “?”. Select the correct giving project number from the List screen and click **OK**. ARIS adds the giving project number on the Fund Transfer screen.
- Add the dollar amount and click **OK**.
- Highlight **Temp** fund transfer Receiving Amount data line and repeat the same steps. Select the **List** tab and save your changes to complete the fund transfer (fig. 12).

**Fig. 12. Adding Permanent and Temporary Fund Transfer in a Single Action**

**Note:** The **Projects Giving Funds** section lists only the giving projects for the fund transfer data line that is highlighted in the **Receive Amount by FY** section. It appears that the other action has disappeared, but it is still there!

**Note:** When adding a temporary and permanent action at the same time, check your work carefully before obtaining signatures and sending it through for approval. Ensure remarks accurately describe each fund transfer.

***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 number 0101-88888-016-00D.
- FY Program Increases receive funding from project number 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.
- All 0500 (HQ) releases are initiated by Headquarters only.